

ANNEX V RECOVERY

I. SITUATION AND ASSUMPTIONS

- A. Recovery from a disaster or emergency involves actions and resources from local jurisdictions to return the situation to normal, or as near pre-disaster conditions as possible.
- B. In the event a major disaster occurs or an emergency strikes the Commonwealth, affected jurisdictions shall require assistance and support in recovering from the damage and destruction caused by the event. Agencies of state government, along with private relief agencies, shall provide emergency operations support. Under certain situations the federal government shall provide support to recovery operations in restoring public property, critical services, and where applicable, assistance in the restoration of private property.
- C. Damage assessment teams shall be required to collect damage information following a disaster. Such information after confirmation shall provide the basis for further action by the Governor, County Judge Executive or Mayor.
- D. Hazard mitigation projects may also be initiated by local jurisdictions to enable immediate and long-term hazard mitigation measures to be implemented following a Presidential Disaster Declaration.
- E. In the event of a nuclear, chemical, biological, or conventional attack, state and local government shall provide assistance in treating the injured, interring the dead and restoring property. Assistance from the federal government shall be provided, depending on the situation and availability of resources. During the post attack period, action may be taken to restore the economy, continue the war effort, and/or discontinue evacuation of the risk area.
- F. In the event a catastrophic event activates the National Disaster Response Plan, the Disaster Field Office (DFO) shall be primary field locations for the coordination of response and recovery operations. The DFO shall house the Federal Coordinating Officer (FCO) and the staff of the Emergency Response Team, and shall be located in or near the affected area. The office shall operate 24 hours a day, or with a schedule sufficient to sustain the federal response operations. Except where facilities do not permit, the FCO shall co-locate with the State Coordinating Officer in the DFO.
- G. Applications for Individual Assistance will be taken by teleregistration or at a Disaster Recovery Center (See Appendix V-5).

II. MISSION

To provide coordination and guidance for recovery operations to include restoration of damaged or destroyed public property, services and assistance to private citizens affected by a major disaster or emergency. To coordinate damage assessment activities, presidential declaration requirements and facilitate Damage Assessment Reports and Project Applications. To coordinate and administer the state's Public Assistance, Individual Assistance and Hazard Mitigation Programs.

III. DIRECTION AND CONTROL

KyEM through the Operation/Recovery Branch is the lead state agency to coordinate support and assistance for recovery operations throughout the Commonwealth. The Governor's Authorized Representative (GAR) shall represent the state with the federal government or other organizations responsible for recovery operations. Direction shall be provided by on-site staff personnel and through written directives.

IV. CONCEPT OF OPERATIONS

- A. Recovery operations shall be carried out in conformance with state and federal regulations governing disaster assistance programs.
- B. Recovery operations shall continue until otherwise directed by the KyEM Director, or designee.
- C. If directed by the appropriate authority recovery operations shall revert to preparedness, response, or increased readiness phase.
- D. Recovery operations shall be coordinated with appropriate surrounding states.
- E. All agencies must insure that proper documentation and records are maintained throughout recovery operations.
- F. Local and state government must be prepared to continue recovery operations until all actions have been completed. Recovery operations may continue long after the emergency response workers have left the scene.
- G. As part of the recovery process, local jurisdictions should conduct Hazard Analysis and Vulnerability studies to determine if the jurisdiction can benefit from mitigation measures.
- H. In the event of a threatened or impending emergency or disaster, the County Judge Executive or Mayor of a city, or their designees, may declare that a state of emergency exists in accordance with KRS 39A.100(2). Tab V-1-3 contains instructions and blank forms for a Local Declaration of an Emergency.
- I. National Response Plan-Disaster Field Office (DFO)

1. If the Federal Response Plan is activated by a Presidential declaration a Federal Coordinating Officer (FCO) shall be appointed. The FCO shall work with the State Coordinating Officer (SCO) to identify needs and support requirements, and coordinate the requirements with the Emergency Support Functions
2. An Emergency Response Team (ERT) Advance Element, followed by a fully staffed ERT, shall deploy to the field to conduct response and recovery operations. When fully operational, FEMA's regional level response structure shall consist of the FCO supported by the ERT in the DFO. Emergency Support Functions (ESFs) shall deliver response and recovery operations in the field.
3. The DFO shall be the primary field location for the coordination of response and recovery operations. It shall house the FCO, ERT, and staff. The DFO may be located in or near the disaster area and shall operate 24 hours a day, or on a sufficient schedule to maintain response and recovery operations. Unless facilities are limited the FCO and SCO shall be co-located in the DFO.
4. The National Response Plan utilizes a functional approach to group the types of federal assistance under fifteen Emergency Support Functions (ESFs). The fifteen ESFs serve as the primary mechanism under which federal response assistance shall be provided to Kentucky. Each ESF is headed by a primary federal agency with other federal agencies providing support as necessary to carry out functions. Primary agencies have been assigned on the basis of having the most resources and capabilities in a particular functional area. See Appendix A-6, "National Response Plan."
5. Each ESF has been preassigned a number of missions under which assistance shall be provided. The primary agency, with one or more support agencies, shall be responsible for managing the ESF operations. The ESF's major responsibilities are contained in Appendix A-6 of the state EOP.
6. State and local governments shall maintain direction and control of disaster response operations. Federal assistance is to supplement state and local response operations and shall be provided based on state identified requirements and priorities.
7. Each ESF shall establish a liaison in the DFO to work directly with their state counterpart to identify state resource requirements. These requirements shall be communicated to the FCO, who shall work with ESFs, to ensure coordination of available resources.
8. A Primary Joint Information Center staffed with public affairs representatives from federal and state governments shall be established in the DFO. The center is to ensure the coordinated, timely and accurate release of information to the news media and public. On scene congressional relation

shall also locate in or near the DFO. See ESF #15, "External Affairs".

V. ADMINISTRATIVE SUPPORT

- A. Administrative support shall be provided by state government cabinets or agencies which have been tasked in recovery operations. Available KyEM administrative support shall be utilized where appropriate.
- B. Augmentation and training shall be carried out as outlined in the appropriate publications and directives listed in this Annex.

VI. GUIDANCE PUBLICATIONS

- A. Public Assistance Guide, FEMA 332
- B. Public Assistance Program State Administrative Plan.
- C. Hazard Mitigation Grant Program State Administrative Plan.
- D. Post-Disaster Hazard Mitigation Planning Guidance For State and Local Governments, FEMA 1990.
- E. Local Hazard Mitigation Program Handbook, KyEM 1991.
- F. Hazard Mitigation Grant Program Handbook, KyEM 1990.
- G. Hazard Mitigation Grant Program Administrative Handbook, KyEM 1991.
- H. Individual Family Grant Program State Administrative Plan.
- I. Public Assistance Debris Management, FEMA 325.

VII. APPENDICES

- V-1 Damage Assessment
- V-2 Requesting a Major Disaster or Emergency Declaration
- V-3 Project Worksheets (PW) and Project Applications
- V-4 Duties of the State Coordinating Officer
- V-5 Disaster Recovery Centers (DRCs)
- V-6 Individuals and Household Assistance Program (IHP)
- V-7 Public Assistance Program

V-8	Hazard Mitigation Grant Program
V-9	State Disaster Recovery Centers
V-10	State Donations Plan
V-11	Staging Areas by County
V-12	Restoration of Documents
V-13	Debris Removal
V-14	Reserved for Future Use
V-15	Post Disaster Building Inspections

APPENDIX V-1 DAMAGE ASSESSMENT

I. SITUATION AND ASSUMPTIONS

Should a natural disaster or man made disaster occur within the state, an assessment of the extent of damages to both public and private property shall be required. Although initial reports to the state of the situation may be received from many sources (individuals, police, amateur radio, etc.), for purpose of state government, the official report shall be that report which is received from the local chief executive.

II. MISSION

To confirm through all available sources the damage resulting from a disaster. The result of the assessment and confirmation shall provide the basis for further action by the Judge Executive, Mayor and Governor.

III. DIRECTION AND CONTROL

KyEM shall direct the conduct of damage assessments, when damage has occurred within the Commonwealth as a result of natural disaster, technological, or war disasters.

IV. CONCEPT OF OPERATIONS

- A. The Initial Disaster Assessment Report shall be made to the State EOC by the local chief executive and may be transmitted by telephone or FAX. Written reports should be submitted as soon as possible following the initial report. Tab V-1-1 contains the Initial Disaster Report utilized in the state EOC and should be used as a guide as to the types of information to be reported.
- B. KyEM may conduct an on site inspection of the impacted area(s) or may request through the KyEM Director, or the Governor's Office that a joint Preliminary Damage Assessment (PDA) be conducted.
- C. Should the on site inspection indicate that state or federal aid may be required, a Damage Assessment Report shall be necessary.
- D. State damage assessment teams may be requested by the County Judge Executive or Mayor to assist in the survey. Local government officials, assisted by the KyEM Area Manager(s) shall complete Damage Assessment Reports to the maximum extent possible prior to the arrival of the state assessment team(s). Tab V-1-1 contains forms utilized for on site inspections and should be used as a guide as to the types of information required by the inspection teams.

- E. KyEM shall determine the number of personnel required for a joint PDA and from which agencies they will be assigned. The number and size of the teams shall be governed by:
 - 1. Extent of damage.
 - 2. Size of the impacted area.
 - 3. Number of eligible categories of damage.
- F. The completed Damage Assessment Report and a letter requesting assistance (See Tab V-1-2) shall provide the basis for the Governor's decision to declare that an emergency exists as authorized by KRS 39A.100(1). The letter must state that the emergency situation is beyond the capability of the local jurisdiction to resolve. During early recovery the initial assessment report shall be the basis for all allocations of state resources.
- G. Should the damage assessment reports indicate that the magnitude of the disaster warrants assistance from the federal government, as verified by the state assessment team, reports shall form the basis for a request to the President for aid under the provisions of PL 93-288, as amended. In the event of a Presidential Disaster Declaration, local government officials shall also be required to submit a report of disaster related expenditures.
- H. Responsibilities
 - 1. The County Emergency Management Agency shall:
 - a. Notify those agencies responsible for providing damage assessment team personnel.
 - b. Coordinate the efforts of the assessment teams.
 - c. Consolidate, if necessary, assessment reports for presentation to the County Judge Executive or Mayor.
 - 2. The County EM organization will provide damage assessment teams to prepare preliminary reports, assist the state and federal damage assessment teams, and locate damaged areas on a map of the jurisdiction.

V. TABS

- V-1-1 Damage Assessment Reports.
- V-1-2 Sample Letter Requesting State Assistance.
- V-1-3 Sample Local Declaration of a Local State of Emergency.

V-1-4 Damage Assessment Team Members

TAB V-1-1
DAMAGE ASSESSMENT REPORTS

KyEM 24 Hour Phone No.: 502-607-1610
FAX No.: 502-607-1614

INITIAL DAMAGE ASSESSMENT REPORT

1) DATE _____ 2) POLITICAL SUBDIVISION _____
3) REPORTING OFFICIAL _____ 4) PHONE NUMBER _____
5) CELL PHONE NUMBER _____

GENERAL SITUATION

6) _____

SUMMARY OF CASUALTIES

NUMBER OF:

7) DEAD _____ 8) EVACUATED _____
9) MISSING _____ 10) SHELTERED _____
11) HOSPITALIZED _____ 12) INDIVIDUALS & FAMILIES REQUIRING
TEMPORARY HOUSING _____

RESIDENCES

13) DESTROYED _____ 14) UNINHABITABLE _____
15) DAMAGED (HABITABLE) _____ 16) NUMBER ISOLATED _____

NUMBER OF HOSPITALS

17) DAMAGED BUT USABLE _____ 18) NOT SERVICABLE _____

UTILITIES

19) WATER SYSTEMS _____ 20) ELECTRICAL SYSTEMS _____
21) SEWER SYSTEMS _____ 22) NATURAL GAS SYSTEMS _____

DAMS AND LEVEES

23) DESTROYED _____ 24) DAMAGED _____ 25) THREATENED _____

PUBLIC BUILDINGS

26) DAMAGED _____ 27) DESTROYED _____

ROADS AND BRIDGES

28) ROADS/STREETS DAMAGED _____ 29) ROADS/ STREETS BLOCKED _____
30) BRIDGES DAMAGES/USABLE _____ 31) BRIDGES DAMAGED/UNUSABLE _____
32) IMMINENT THREATS OR HAZARDS _____

KyEM Form 521
(Revised 1 November 2004)

(INSTRUCTIONS ON BACK OF FORM)

INSTRUCTIONS

The purpose of this form is to expedite procedures for local government in reporting damages to the Kentucky Division of Emergency Management. When calling the State Emergency Operations Center while using this form, just say "Assessment Report" prior to giving the information.

- Block 1: Date – Enter current date.
- Block 2: Political Subdivision - Give name of the County and City(s), which are included in the report.
- Block 3: Reporting Official - Name of person calling in report. Should be the County Judge, City Mayor, EM Director or Damage Assessment Team Leader.
- Block 4: Phone Number - Number at which the person making the report can be reached if further information is needed.
- Block 5: Cell Phone Number – Cell Phone Number at which the person making the report can be reached if further information is needed.
- Block 6: General Situation – Provide any information deemed necessary, specifying the following and using additional pages as needed:
1. What is the situation,
 2. What you are doing to respond to the situation,
 3. What assistance from state resources is needed,
 4. What are priority problems,
 5. Type of Damage,
 6. Impact on the community.
- Block 7: Dead - Number of confirmed dead due to the disaster or emergency.
- Block 8: Evacuated - Number of persons evacuated from the affected area.
- Block 9: Missing - Number of persons who cannot be accounted for due to the disaster or emergency.
- Block 10: Sheltered - Number of persons being fed and sheltered in group shelters.
- Block 11: Hospitalized - Number of persons hospitalized by injury or sickness caused by the specific disaster or emergency.
- Block 12: Individuals and families requiring temporary housing - Estimated number of individuals and families needing temporary housing due to damages caused by the disaster or emergency.
- Block 13: Residences Destroyed - Number of homes/mobile homes that are beyond repair.
- Block 14: Residence Uninhabitable - Number of homes/mobile homes that are damaged and not usable at present time, but can be repaired.
- Block 15: Residences Damaged (Habitable) - Number of homes/mobile homes damaged but livable by occupants while being repaired.
- Block 16: Number Isolated – Number of homes isolated due to road blockages, high water, etc.
- Block 17: Hospitals Damaged - Number of hospitals that sustained damage but can still render services to patients.
- Block 18: Hospitals Not Serviceable - Number of hospitals that can no longer provide services to patients due to damages.
- Block 19: Water Systems - Number of those systems receiving damages or destroyed. (If possible, include estimated number of people affected.)
- Block 20: Electrical Systems - Number of those systems damaged or destroyed. (If possible, include estimated number of people affected.)
- Block 21: Sewer Systems - Number of those systems damaged or destroyed. (If possible, include estimated number of people affected.)
- Block 22: Natural Gas Systems - Number of those systems damaged or destroyed. (If possible, include number of people affected.)
- Block 23: Dams Destroyed - Number of dams/levees that have been breached due to the disaster. (Give location if possible.)
- Block 24: Dams Damaged - Number of dams/levees that have received damage but are still stable. (Give location if possible.)
- Block 25: Dams Threatened - Number of dams/levees that have been topped, have cracks or are close to being breached. (Give location if possible.)
- Block 26: Public Buildings Damaged - Courthouses, Schools, etc. that received damage to building and/or contents.
- Block 27: Public Buildings Destroyed - Courthouses, Libraries, Schools, etc., which are completely destroyed.
- Block 28: Roads/Streets Damaged - Number (and miles if possible) of roads damaged but passable.
- Block 29: Roads/Streets Blocked - Number of roads that are impassable due to damage or debris.
- Block 30: Bridges Damaged/Usable - Number of bridges damaged but usable with caution.
- Block 31: Bridges Damaged/Unusable - Number of bridges that are destroyed or determined unsafe for use.
- Block 32: Imminent Threats or Hazards - Any information about existing or developing situations that could pose a threat or hazard to the public.

[illegible]

Damage Survey Team: _____

Map No.	CITY OF CHICAGO						
	A DEBRIS REMOVAL	B PROTECTIVE MEASURES	C ROAD SYSTEMS	D WATER CONTROL	E PUBLIC BUILDINGS	F PUBLIC UTILITIES	G RECREATIONAL FACILITIES

KyEOP-22-04

Public Assistance Damage Survey Report Instructions

KyEM Form 501 is used to report damages to publicly-owned (including medical, custodial care, educational, emergency or utility private non-profit) facilities. This information will help determine the need for state and federal disaster assistance.

- Incident Number:** For State EM use only.
- City:** Enter the name of the city where damages occurred. City officials should not report any damages that are outside their jurisdiction.
- County:** Enter the name of the county where damages occurred. County officials should not report any damages that are outside their jurisdiction.
- Date:** Enter the date of the survey.
- Type of Disaster:** Check the type of incident. If not listed, check block 4 (Other) and enter specific event.
- Damage Survey Team:** Enter the names of the Damage Survey Team members.
- Location** Enter the name or location of the damaged facility or site, such as City Hall or C.R. 33, 1.6 miles North of city limits. Be specific.
- Description of Damage:** Describe damage to facility or site.
- Map No.:** Mark location of facility on map.
- Category:** Estimate disaster-related costs at each site for:
- A - Debris Removal
 - B - Protective Measures (warning signs, barricades, sandbags, etc.)
 - C - Road Systems (streets, roads and bridges)
 - D - Water Control (dams and levees)
 - E - Public Buildings (libraries, schools, city halls, courthouses, fire stations, etc. and equipment)
 - F - Public Utilities (sewer, water, gas and electrical utilities)
 - G - Recreational Facilities (swimming pools, playgrounds, ballparks, bleachers, fences, scoreboards, etc.)
- Insurance:** Estimate the portion of damages that will be covered by insurance.
- TOTALS:** Add amounts in each column

V-1-1-5

KYEOP-22-04

INDIVIDUAL ASSISTANCE DAMAGE SURVEY REPORT		City: _____ County: _____ Date: _____ Type of Damage: <input type="checkbox"/> Tornado <input type="checkbox"/> Flood <input type="checkbox"/> Earthquake <input type="checkbox"/> Other: _____ Damage Survey Team: _____																		
Street, Road or Area	Name of Family	Home		Type			Status		Affected Habitable	Uninhabitable				Water Depth			Est. Income			% Insured
		Prin.	Sec.	SF	MF	MH	Own	Rent		Min.	Maj.	Dest.	Isolated No Util.	Base- ment	1 st Floor	2 nd Floor	Low	Med	High	

MH's (built before 1977)

Affected: Received some damage but living unit is still habitable (0 - 6 inches).
Minor: Damaged and uninhabitable but may be made habitable with minimal repairs (6 inches – 1 foot).
Major: Damaged and uninhabitable, extensive repairs needed (2 - 4 feet).
Destroyed: Total loss or damaged to such an extent that repairs are not feasible (over 4 feet).

Homes or (MH's built after 1977)

Affected: Received some damage but living unit is still habitable (0 - 1 foot).
Minor: Damaged and uninhabitable but may be made habitable with minimal repairs (1 – 3 feet).
Major: Damaged and uninhabitable, extensive repairs needed (3 - 4 feet).
Destroyed: Total loss or damaged to such an extent that repairs are not feasible (over 5 feet).

Individual Assistance Damage Survey Report Instructions

Purpose

The KyEM-551 is used to gather data regarding individual assistance (housing businesses and agriculture) resulting from a significant incident. The data is one of the sources used to determine if a major disaster declaration request will be made.

General Procedure

The KyEM-551 is completed in original only by the person conducting the survey. Completed copies are filed.

Detailed Procedure

FRONT

- City:** Enter the name of the city of the area surveyed.
- County:** Enter the name of the county of the area surveyed.
- Date:** Enter the date of the survey.
- Type of Disaster:** Check the type of incident. If other than a tornado, flood or earthquake, enter incident type in space provided.
- Damage Survey Team:** Enter the names of the Damage Survey Team members.
- Address:** Enter street or road name, name of apartment building, mobile home park, etc. Be specific as possible, using house numbers if available/feasible.
- Name of Family:** Enter the family's name, if available.
- Home:** Is it the primary residence (residence is the main home most of the year) or secondary residence (residence is one used by the family for recreation on weekends, vacations, etc.)?
- Type:** Is it a single-family (SF) or multi-family (MF) dwelling or mobile home (MH)?
- Status:** Is the home owned or rented by the occupants?
- Damage:** Using the guidelines shown on the bottom of the form, estimate if damage is Affected Habitable, Minor, Major or Destroyed.
- Water Depth:** Enter depth of water in feet or inches.
- Estimated Income:** Low, Medium or High. Check estimated income of family.
- Insurance:** If possible, determine if the dwelling is covered by flood insurance, windstorm, or homeowners insurance.

Incident Number: _____

BUSINESS

ADDRESS	OWNER'S NAME	DESCRIPTION OF DAMAGES	ESTIMATED DAMAGES	% INS.
			\$	
			\$	
			\$	
			\$	
			\$	
			\$	
			\$	

AGRICULTURE

ADDRESS	NAME OF FAMILY	DESCRIPTION OF DAMAGES	ESTIMATED DAMAGES	% INS.
			\$	
			\$	
			\$	
			\$	
			\$	
			\$	
			\$	

GRAND TOTAL: \$ _____

TAB V-1-2
SAMPLE LETTER REQUESTING STATE ASSISTANCE

Date of Letter

The Honorable **(Name)**
Governor, Commonwealth of Kentucky
The Capitol
Frankfort, Kentucky 40601

Dear Governor **(Name)**:

This is to advise you that **County/City** has experienced a devastating **(Flood, Tornado, etc.)** on **(Date)** causing considerable human suffering and widespread damages to public and private property and to vital public facilities.

I have expended the maximum amount of equipment, time and personnel effort that the **(County/City)** is capable of providing to alleviate suffering and now find that the situation is beyond the capability of the **(County/City)** for adequate response.

As a consequence, under KRS Chapter 39, I declared a State of Emergency on **(Date)** in **(County/City)** and request assistance from the state to supplement local response to the damage as detailed on the attached Damage Assessment Report.

Sincerely,

(Signature of Judge/Executive or Mayor)
(Name of County or City)

Attachment

TAB V-1-3
SAMPLE
DECLARATION OF A LOCAL STATE OF EMERGENCY

(Date declaration is effective)

WHEREAS, on **(dates emergency/disaster occurred)** a **(flood, tornado, etc.)** occurred in **(County/City)**, Kentucky; and

WHEREAS, **(brief description of the damages)** _____

_____ ;and

WHEREAS, this situation creates a considerable hardship for the citizens of **(County/City)**; and

WHEREAS, local government has the responsibility to protect the public health, safety and welfare, and to mitigate the effects of such events.

NOW, THEREFORE, I **(name and title of the Chief Executive issuing the order)**, by the authority vested in me by KRS 39A.100(2), do hereby declare that a State of Emergency exists in **(County/City)** for the period **(duration of the state of emergency)**, and direct that:

1. The local Emergency Operations Plan shall be fully executed;
2. The **(title of the EM/CD Coordinator/Director)** shall direct the **(type of EM/CD organization)** to provide such assistance as can be delivered from available local resources and shall coordinate all agencies of local government to provide assistance to **(County/City)**;
3. All agencies of **(County/City)** shall cooperate to the fullest extent with **(type of EM/CD organization)** and shall provide such assistance as may be required for response to this emergency.
4. Under this State of Emergency, as provided in KRS 39A.100 (2) and 45A.380(1)(7) **(title of Chief Executive)** can waive procedures and formalities otherwise required by the law pertaining to: a) performance of public work, b) entering into contracts, c) incurring obligations, d) employment of permanent and temporary workers, e) utilization of volunteer workers, f) rental of equipment, g) appropriation and expenditure of public funds.

(Signature of Chief Executive)
(County/City)

(Name and Title of Clerk of the Promulgating Jurisdiction)

TAB V-1-4
DAMAGE ASSESSMENT TEAM MEMBERS
TO BE DEVELOPED LOCALLY

APPENDIX V-2
REQUESTING A MAJOR DISASTER OR EMERGENCY DECLARATION

I. SITUATION AND ASSUMPTIONS

The Federal Emergency Management Agency (FEMA) monitors developing and/or existing disaster or emergency situations. When it becomes evident that federal assistance to supplement state and local capabilities may be required, the Governor or the KyEM Director shall contact the FEMA Regional Director for assistance and advice regarding federal programs and resources which may be available. In any case, only the Governor or the acting Governor may request a Presidential Disaster Declaration based on information supplied by the County Judge Executive or Mayor.

II. MISSION

To outline procedures to be followed when requesting a Presidential Disaster Declaration.

III. DIRECTION AND CONTROL

The Governor, Adjutant General, and the KyEM Director with the Operations and Recovery Branch Manager shall provide the guidance and direction to the Judge Executive or Mayor when requesting a Presidential Disaster Declaration.

IV. CONCEPT OF OPERATIONS

- A. When determining to request a major declaration, the County Judge Executive or Mayor must rely on damage assessment reports, other reports from state and local officials, and confirmed information from other sources (insurance agencies, and adjusters, Red Cross, etc.). KyEM personnel shall assist in the decision making process by:
 - 1. Preparing a concise summary of the extent of public and private damages and the number of people affected.
 - 2. Determining the extent of the areas affected by the incident.
 - 3. Preparing an estimate of the types and extent of federal assistance required.
 - 4. Conferring with FEMA regarding eligibility for federal assistance.
- B. The decision to request a declaration must be made with full consideration of assistance through federal agencies (e.g. USDA) under the continuing authority of those agencies. Before, or concurrent with the request, the Governor must declare a State of Emergency in the Commonwealth and direct execution of the State Emergency Operations Plan.

C. When it has been determined by the state that a major disaster declaration is necessary, the Governor shall submit a written request to the President via FEMA. The request should be based upon the finding that because of the severity and magnitude of the disaster effective response is beyond state and local capabilities and that federal assistance is required. The Governor's request must include:

1. A preliminary estimate of the extent and severity of damages listed by type, such as private non-agricultural, agricultural and public.
2. A statement of actions pending or taken by state and local governments in response to the situation.
3. Certification that for the current disaster state and local obligations and expenditures shall constitute a reasonable part of state and local funds for alleviating disaster related damages, loss, hardship, or suffering. This certification must include the following:
 - a. Pursuant to Federal Emergency Management Agency regulations, I certify that the total of expenditures and obligations for this disaster for which no federal reimbursement shall be requested are expected to exceed \$XXXXXX in accordance with the following table.

Category of Assistance	State	Local
Individual Assistance		
Housing	\$	\$
Individual and Family Grant	\$	\$
Mass Care	\$	\$
Other (Specify)	\$	\$
Total	\$	\$
Public Assistance		
Debris and Wreckage Removal	\$	\$
Protective Work	\$	\$
Restoration of Public Facilities	\$	\$
Water Control Facilities	\$	\$
Public Buildings	\$	\$
Public Utilities	\$	\$
Recreational Facilities	\$	\$
Other (specify)	\$	\$
Total	\$	\$

4. An estimate of the extent and nature of federal assistance needed in the state, listed by category of public or individual assistance, for each affected area for which federal assistance is requested. This shall include the estimated federal funds required for each category.
 5. Certification that a State of Emergency exists in the state and that the State Emergency Operation Plan has been executed.
- D. The Governor's request for a Presidential Declaration does not automatically include the Hazard Mitigation Grant Program authorized in PL 93-288, as amended. This program for mitigation must be specifically requested by the Governor's Authorized Representatives, if it is found necessary, within sixty days of the Presidential declaration.
- E. The wide range of federal assistance authorized by a major disaster declaration may not be requested in those situations requiring limited assistance. In some cases, the Governor may request an emergency declaration by which specialized or limited federal assistance may be provided for specific needs.
- F. FEMA upon receipt of the Governor's request shall evaluate the situation and the information submitted to determine whether a major disaster declaration is appropriate. This evaluation shall include review of the Governor's request and information obtained in the joint preliminary damage assessment (PDA). Since the decision to approve or to deny the request, as well as, the types of assistance available if approved, shall be determined by this evaluation, state and local officials must collect accurate and reliable damage reports and must be able to show federal survey teams the areas of damage.
- G. Upon completion of the evaluation, the Governor's request shall be approved or denied. It may be approved for all or part of the assistance requested and for all or some of the jurisdictions included. After approval is given, the FEMA Regional Director shall forward to the Governor the Federal-State Agreement under which the assistance program shall be administered. This agreement shall specify the period of incidence of the disaster and the counties approved for assistance. Exhibit A of the agreement shall specify the conditions under which financial assistance is provided. Exhibit B of the agreement shall designate representatives authorized to execute the duties on behalf of the Commonwealth.

V. TAB

V-2-1 Items Evaluated During the Review of a Major Disaster Request.

ITEMS EVALUATED DURING THE REVIEW OF A MAJOR DISASTER REQUEST

1. GENERAL

All information and data in the state request and regional summary along with the recommendation shall be reviewed and evaluated by the Federal Emergency Management Agency.

2. STATE AND LOCAL COMMITMENT

- A. What is the percent of state commitment and percent of local commitment?
- B. What are the state and local governments doing to correct the damage and damage related problems?
- C. What are the state and local governments doing with respect to mitigation and contingency planning?
- D. What additional resources are being committed by state and local governments?
- E. What is the relationship between the state and locals?
- F. Is the state treating this event like a major disaster?
- G. Are the local governments treating this event like a major disaster?
- H. What are the authorities of COE, FHWA, DOED, SCS and other federal agencies?
- I. What can voluntary agencies, private citizens and private companies do to assist?

3. EVENT DESCRIPTION

- A. What is the magnitude of the event?
- B. Is it localized or widespread?
- C. What was the type of hazard(s)-flash flooding, slow rise flooding, tornadoes, earthquakes, hurricane, series of storms?
- D. Did the event impact a rural or urban area?
- E. When was the last damaging event in the impacted area (declared or undeclared)?

- F. What actions have the state and local governments taken that shall lessen future damages?
- G. Is there any action that was agreed to or required for a previous disaster that was not done that caused damage?
- H. What is the state's disaster or damaging events history?

4. EXTENT OF DAMAGES

- A. Are the damages localized or widespread?
- B. Damages by categories (debris, emergency measures, road systems, utilities systems, parks, etc.).
- C. Is the damage only to roads or is there damage to many public facilities?
- D. Are the facilities destroyed or damaged and not usable?
- E. What is the average cost per site for road repair, bridge repair and other facility repair?
- F. Have any of these facilities been damaged before by a disaster?
- G. What is the insurance coverage?

5. IMPACT ON POPULATION AND PROPERTY

- A. What are the impacts to people and improved property?
- B. What are the impacts with respect to health and safety?
- C. If so, how many and where are people isolated?
- D. What type of people are impacted-elderly, poor, unemployed?
- E. Is there raw sewage discharges or sewer system shutdown? Is the water system shutdown? How long before emergency repairs are complete and what are the impacts?
- F. How many bridges are destroyed or impassable and what is the detour length? How long before emergency repairs are complete? How long before permanent repairs are complete? What is the impact on school bus and mail routes?

6. BUDGET CONSIDERATIONS

- A. What is the state's total budget?

- B. Does the state have an emergency fund for such purposes and how has it been utilized in the past?
- C. What is the major affected local government's total budget?
- D. Is there any item in the budget which caused an imbalance?
- E. What is the total budget for the major damage (usually roads)? What are the components of that budget?
- F. Comparison of budgets with other counties-do the budgets provide adequate coverage?
- G. What is the budget cycle?

7. POPULATION STATISTICS

- A. What is the population of the state?
- B. What percent of the population is impacted by this event?
- C. Population of the county, town, or city?

8. ECONOMIC CONDITIONS

- A. General economic climate to include the unemployment situation.
- B. Age and type of affected population? Income of affected population, and degree of unemployment?

APPENDIX V-3
PROJECT WORKSHSEETS (PW) AND PROJECT APPLICATIONS

I. SITUATION AND ASSUMPTIONS

Project Worksheet (PW) and Project Application (PA) preparation and submission are accomplished through the combined efforts of federal, state and local officials each having specific responsibilities each step of the process.

II. MISSION

To define responsibilities at all levels of government and provide guidance and assistance as needed for the preparation and submission of Project Worksheets.

III. DIRECTION AND CONTROL

While accomplishment of these actions is the joint responsibility of federal, state, and local government, the coordination of resources and support of the federal effort shall be provided by the Operation and Recovery Branch.

IV. CONCEPT OF OPERATIONS

- A. An applicant briefing shall be conducted in the disaster area by the Governor's Authorized Representative (GAR) to inform local officials of the types of assistance available, application procedures, funding options and responsibilities of the applicant. This briefing should be held as early as possible after the declaration.

1. Responsibilities of Judge Executive and or Mayor.

- a. Ensure attendance of designed local representatives who are familiar with all types of damages in the jurisdiction.
- b. Complete a Request for Public Assistance for official notification to FEMA of the intent to apply for public assistance. The form outlining general information identifying the applicant, including the applicant's name, address, and primary and secondary contents.

2. State (KyEM) Responsibilities

- a. Coordination with the Federal Coordinating Officer (FCO), select the time and location for the applicant's briefing.
- b. Ensure availability of a meeting place.
- c. Notify local officials of the date, time, place and purpose of the meeting.

- d. Ensure attendance by appropriate state and federal officials.
- e. Confirm data, time and place with local officials.
- f. Provide briefing for state agencies when appropriate.
- g. Advise local officials in selection of an Applicant's Agent.
- h. Meet with the Applicant's Agents to discuss detailed record keeping requirements.

B. Project (Worksheet) PW FEMA Form 90-91

1. The Project Worksheet (PW) is the primary form used to document the scope of work and cost estimate for a project. The PW includes the location, damage description and dimensions, scope of work, and cost estimate for each project. Tab V-3-4 contains a sample and instructions.
2. Local Responsibility
 - a. The applicant is responsible for preparing the PWs for small projects and submitting the PWs to the FEMA/State Public Assistance Coordinator (PAC).
 - b. The applicant must submit project PWs to the PAC within 60 days of the kickoff meeting.
 - c. Coordinate with the Project Officer (PO), and team preparing PWs, of large projects.
 - d. Ensure that any special consideration associated with a project are identified and reviewed.
3. KyEM Responsibility
 - a. Educate potential applicants on the Public Assistance Program.
 - b. Designate personnel to serve as an Applicants Liaison who will interface with the applicants and FEMA (PAC) assisting applicants with PWs.
 - c. Coordinate with the FEMA any misunderstandings or problems an applicant may have involving any aspect of eligibility, funding, or the problem in general.

C. Project Validation (FEMA Form 90-4)

1. Validation is conducted by FEMA for applicants who prepare their own PWs.

2. Typically, only 20% of an applicant's small projects are assessed in the validation process. However, if significant discrepancies are found in the sample, a second sample of 20% is assessed.
3. Small projects without special considerations are funded after validation has been successfully completed.
4. Local Responsibilities
 - a. Designate an Applicant's Agent by completing KyEM Form 500. Tab V-3-2 contains a sample form.
 - b. Review each PW for accuracy of damage descriptions, cost estimates and eligibility recommendation.
 - c. Determine, with assistance from the GAR and on the basis of the PWs, the funding option to be selected.
 - d. Determine if additional PWs are required.
 - e. Request approval of change in scope of work if necessary.
 - f. Provide quarterly program reports for large projects.
 - g. Provide summaries of documentation for large projects.
5. KyEM Responsibilities
 - a. Review each PW for accuracy of cost estimates, damage description of work proposed as eligibility recommendation.
 - b. Advise the Applicant's Agents in the selection of funding options on the basis of PWs and local needs.
 - c. Explain cost sharing requirements to local officials.
 - d. Upon disapproval, advise the applicant of the reason for the disapproval and determine if there are reasonable grounds for an appeal.
 - e. Explain the requirements for completion dates, inspections, documentation of cost and compliance with bid and contract law.
 - f. Disburse obligated funds to applicants in an timely manner.

D. Inspections

1. Final inspection of large projects is required by FEMA regulation to ensure that work is performed in accordance with the PA, and that assistance funds

are properly expended. In addition, interim inspections may be made by federal or state representatives.

2. Local Responsibilities

- a. Be prepared for interim inspection by complying with starting and completion date requirements, and documentation requirements.
- b. Request interim inspections if necessary.
- c. Upon completion of large projects, notify the GAR and provide documentation of cost.
- d. Provide local representatives for final inspection.
- e. Complete a Project Worksheet (Tab V-3-4) project listing and send it to the GAR.

3. KyEM Responsibilities

- a. Make or request interim inspection, as appropriate.
- b. Coordinate with appropriate state and federal agencies to schedule interim and final inspections.
- c. Ensure completion of final inspections within a reasonable period after request.

E. Documentation and Audits

1. Each applicant receiving over \$300,000 in federal funds in a fiscal year shall have an audit made in accordance with 44 CFR Part 14.1 and 14.2, and the Single Audit Act, Amendment of 1996.
2. Local Responsibilities
 - a. Maintain complete documentation of expenditures for approved items of work, identifying cost by PW number and category.
 - b. For large projects approved under Sections 403, 406, 407, or 502 submit to the GAR a Summary of Documentation of Expenditures for Approved PW Work (KyEM Form 508) and all supporting documentation for state review. Tab V-3-4 contains a sample of Summary of Documentation.
 - c. When approved under Section 422, maintain documentation for possible audit and submit a completed project listing.

3. KyEM Responsibilities-GAR and SCO

- a. Advise and assist local officials in the preparation and maintenance of documentation and preparation of records and audit.
- b. Review documentation to assure identification of cost with items of work.
- c. Review audit reports to insure compliance with program regulations and guidelines.
- d. Prepare a voucher analysis after completion of work.
- e. Submit voucher analyses and projecting listing to FEMA for closeout.

V. TABS

- V-3-1 PW Preparation and Project Application Submission.
- V-3-2 Designation of Applicant's Agent.
- V-3-3 Request for Public Assistance
- V-3-4 Project Worksheet (PW)
- V-3-5 Summary of Documentation in Support of Amount Claimed for Eligible Disaster Work

TAB V-3-1
PW PREPARATION AND PROJECT APPLICATION SUBMISSION

I. SITUATION AND ASSUMPTIONS

Project Worksheets (PW) FEMA Form 90-91 form the basis for all Project Applications (PA) and supplemental applications. Disaster related expenditures and damages that are not reported in a PW should not be considered for federal reimbursement. For this reason, the applicant and state must ensure that all such expenditures and damages are reported and included in damage surveys for PW preparation.

II. MISSION

To ensure that Project Worksheets are properly prepared and that they include all expenditures and damages related to the incident or disaster.

III. DIRECTION AND CONTROL

The County Judge Executive and or Mayor are responsible for reviewing Project Worksheets when submitting a Project Application (PA) to ensure that all requirements are met. The applicant and the state must ensure that all disaster related expenditures and damages are reported and included in the damage surveys for PW preparation.

IV. CONCEPT OF OPERATION

- A. A Request for Public Assistance is completed at the applicant's briefing. The form outlines general information identifying the applicant, name, address, and primary and secondary contacts.
- B. The applicant is responsible for preparing PW for small projects and submitting the PW to the PAC. The applicant must submit a PW as soon as possible to expedite the assistance process. If the applicant requires assistance with the preparation of PW, the PAC may assign a Project Officer or Specialist to provide the applicant with technical assistance.
- C. For large projects, a Project Officer is responsible for working with the applicant to prepare the PW. The Project Officer may lead a team that includes a representative of the state and one or more specialists, depending on the type and complexity of the payment.
- D. Federal policy requires that each applicant appoint an agent to act on behalf of the applicant in all matters relating to federal disaster assistance. Tab V-3-2 contains KyEM Form 500, Designation of Applicant's Agent.
 - 1. The Applicant's Agent must be appointed by the action of the local governing authority (Fiscal Court, City Council, etc.).

2. The appointing document (KyEM Form 500) must be forwarded to the Governor's Authorized Representative (GAR).
3. All payments of funds for the applicant shall be paid by state treasury check payable to the applicant in care of the Applicant's Agent.
4. The Applicant's Agent should be familiar with all damages incurred.
5. The Applicant's Agent shall have the authority to select methods of payment, alternate projects, and to make other required decisions.

E. Methods of Payment

1. Under provisions of PL 93-288, as amended, applicants for disaster assistance may, within specific limitation, select from three methods of payment. Because the benefits of this program depend heavily upon the proper selection of projects, local officials should carefully consider this decision in regard to local considerations and needs. The following information shall assist both state and local officials. Selection of a method of payment is the responsibility of the Applicant's Agent.
2. If an applicant wishes to make improvements but still restore the pre-disaster function of a damaged facility, the GAR approval must be obtained. Federal and state funding for improved projects shall be based on the approved PW estimate of eligible costs.
3. When an applicant decides that the public welfare would not be best served by restoring a damaged public facility, the GAR may request that the FEMA Region Director approve an alternate project.
 - a. This option may be taken only on permanent work.
 - b. Federal funding is limited to 90% of the federal share of the approved PW estimate.
 - c. Before beginning construction of any alternate project, the applicant shall submit to the GAR for approval by the FEMA Region Director the following:
 - 1) Description of the proposed work,
 - 2) Scope of work,
 - 3) Projected cost of the project,
4. Project Funding

- a. Large Projects are funded on documented actual costs. Because of the nature of more large projects, work typically is not complete at the time of project approval; therefore, FEMA will obligate grants based on an estimated cost. Upon completion of a large project, an applicant must submit documentation to account for all incurred costs to the state. The state then submits documentation of project cost to FEMA for review. Once the FEMA review is complete, the determination is made whether funds should be obligated or not for the project. The application will be paid on actual eligible cost.
- b. Small Projects. When the approved estimate of costs for an individual project is less than \$48,900 (revised annually based on the consumer price index), federal funding shall equal the federal share of the approved estimate of eligible costs.

TAB V-3-2
DESIGNATION OF APPLICANT'S AGENT
RESOLUTION

BE IT RESOLVED BY _____ OF _____
(Governing Body) (Public Entity)

THAT _____,
(Name of Incumbent) (Official Position)

is hereby authorized to execute for and in behalf of _____

_____, a public entity established under the laws of the Commonwealth of

Kentucky, this application and to file it in the appropriate State office for the purpose of obtaining certain Federal financial assistance under the Disaster Relief Act (Public Law 288, 93rd Congress) or otherwise available from the President's Disaster Relief Fund.

THAT _____, a public entity established under the laws of the

Commonwealth of Kentucky, hereby authorizes its agent to provide to the State and to the Federal Emergency Management Agency (FEMA) for all matters pertaining to such Federal disaster assistance the assurances and agreements printed on the reverse side hereof.

Passed and approved this _____ day of _____, 20_____.

(Name and Title)

(Name and Title)

(Name and Title)

CERTIFICATION

I, _____, duly appointed and _____ of
(Title)

_____, do hereby certify that the above is a true and correct copy of a

resolution passed and approved by the _____ of _____
(Governing Body) (Public Entity)

on the _____ day of _____, 20_____.

Date: _____

(Official Position)

(Signature)

APPLICANT ASSURANCES

The applicant hereby assures and certifies that he will comply with the FEMA regulations, policies, guidelines and requirements including OMB's Circulars No. A-95 and A-102, and FMC 74-4, as they relate to the application, acceptance and use of Federal funds for this Federally-assisted project. Also, the Applicant gives assurance and certifies with respect to and as a condition for the grant that:

1. It possesses legal authority to apply for the grant, and to finance and construct the proposed facilities; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with the provisions of: Executive Order 11988, relating to Floodplain Management and Executive Order 11990, relating to Protection of Wetlands.
3. It will have sufficient funds available to meet the non-Federal share of the cost for construction projects. Sufficient funds will be available when construction is completed to assure effective operation and maintenance of the facility for the purpose constructed.
4. It will not enter into a construction contract(s) for the project or undertake other activities until the conditions of the grant program(s) have been met.
5. It will provide and maintain competent and adequate architectural engineering supervision and inspection at the construction site to insure that the completed work conforms with the approved plans and specifications; that it will furnish progress reports and such other information as the Federal grantor agency may need.
6. It will operate and maintain the facility in accordance with the minimum standards as may be required or prescribed by the applicable Federal, State and local agencies for the maintenance and operation of such facilities.
7. It will give the grantor agency and the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
8. It will require the facility to be designed to comply with the "American Standard Specifications for Making Buildings and Facilities Accessible to, and Usable by the Physically Handicapped," Number A117.1-1961, as modified (41 CFR 101-17-7031). The applicant will be responsible for conducting inspections to insure compliance with these specifications by the contractor.
9. It will cause work on the project to be commenced within a reasonable time after receipt of notification from the approving Federal agency that funds have been approved and will see that work on the project will be prosecuted to completion with reasonable diligence.
10. It will not dispose of or encumber its title or other interests in the site and facilities during the period of Federal interest or while the Government holds bonds, whichever is the longer.
11. It agrees to comply with Section 311, P.L. 93-288 and with Title VI of the Civil Rights Act of 1964 (P.L. 83-352) and in accordance with Title VI of the Act, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance and will immediately take any measures necessary to effectuate this agreement. If any real property or structure is provided or improved with the aid of Federal financial assistance extended to the Applicant, this assurance shall obligate the Applicant, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for a purpose for which the Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits.
12. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
13. It will comply with the requirements of Title II and Title III of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and Federally assisted programs.
14. It will comply with all requirements imposed by the Federal grantor agency concerning special requirements of law, program requirements, and other administrative requirements approved in accordance with OMB Circular A-102, P.L. 93-288 as amended, and applicable Federal Regulations.
15. It will comply with the provisions of the Hatch Act which limit the political activity of employees.
16. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, as they apply to hospital and educational institution employees of State and local governments.
17. (To the best of his knowledge and belief) the disaster relief work described on each Federal Emergency Management Agency (FEMA) Project Application for which Federal Financial assistance is requested is eligible in accordance with the criteria contained in 44 Code of Federal Regulations, Part 206, and applicable FEMA Handbooks.
18. The emergency or disaster relief work therein described for which Federal Assistance is requested hereunder does not or will not duplicate benefits received for the same loss from another source.
19. It will (1) provide without cost to the United States all lands, easements and rights-of-way necessary for accomplishments of the approved work; (2) hold and save the United States free from damages due to the approved work or Federal funding.
20. This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, reimbursements, advances, contracts, property, discounts of other Federal financial assistance extended after the date hereof to the Applicant by FEMA, that such Federal Financial assistance will be extended in reliance on the representations and agreements made in this assurance and that the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the applicant, its successors, transferees, and assignees, and the person or persons whose signatures appear on the reverse as authorized to sign this assurance on behalf of the applicant.
21. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1973. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Director, Federal Emergency Management Agency as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
22. It will comply with the insurance requirements of Section 314, PL 93-288, to obtain and maintain any other insurance as may be reasonable, adequate, and necessary to protect against further loss to any property which was replaced, restored, repaired, or constructed with this assistance.
23. It will defer funding of any projects involving flexible funding until FEMA makes a favorable environmental clearance, if this is required.
24. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966, as amended, (16 U.S.C. 470), Executive Order 11593, and the Archeological and Historic Preservation Act of 1966 (16 U.S.C. 469a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
25. It will, for any repairs or construction financed herewith, comply with applicable standards of safety, decency and sanitation and in conformity with applicable codes, specifications and standards; and, will evaluate the natural hazards in areas in which the proceeds of the grant or loan are to be used and take appropriate action to mitigate such hazards, including safe land use and construction practices.

STATE ASSURANCES

The State agrees to take any necessary action within State capabilities to require compliance with these assurances and agreements by the applicant or to assume responsibility to the Federal government for any deficiencies not resolved to the satisfaction of the Regional Director.

TAB V-3-3
REQUEST FOR PUBLIC ASSISTANCE

FEDERAL EMERGENCY MANAGEMENT AGENCY REQUEST FOR PUBLIC ASSISTANCE			O.M.B. No. 3067-051 Expires April 30, 2001	
PAPERWORK BURDEN DISCLOSURE NOTICE				
Public reporting burden for this form is estimated to average 10 minutes. The burden estimate includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the needed data, and completing and submitting the forms. You are not required to respond to this collection of information unless a valid OMB control number is displayed in the upper right corner of the forms. Send comments regarding the accuracy of the burden estimate and any suggestions for reducing the burden to: Information Collections Management, Federal Emergency Management Agency, 500 C Street, SW, Washington, DC 20472, Paperwork Reduction Project (3067-0151). NOTE: Do not send your completed form to this address.				
APPLICANT <i>(Political subdivision or eligible applicant).</i>			DATE SUBMITTED	
COUNTY <i>(Location of Damages, If located in multiple counties, please indicate.)</i>				
APPLICANT PHYSICAL LOCATION				
STREET ADDRESS				
CITY	COUNTY	STATE	ZIP CODE	
MAILING ADDRESS (if different from Physical Location)				
STREET ADDRESS				
POST OFFICE BOX	CITY	STATE	ZIP CODE	
Primary Contact/Applicant's Authorized Agent		Alternate Contact		
NAME		NAME		
TITLE		TITLE		
BUSINESS PHONE		BUSINESS PHONE		
FAX NUMBER		FAX NUMBER		
HOME PHONE (Optional)		HOME PHONE (Optional)		
CELL PHONE		CELL PHONE		
E-MAIL ADDRESS		E-MAIL ADDRESS		
PAGER & PIN NUMBER		PAGER & PIN NUMBER		
Did you participate in the Federal/State Preliminary Damage Assessment (PDA)? <input type="checkbox"/> Yes <input type="checkbox"/> No				
Private Non-Profit Organization? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, which of the facilities below best describe your organization? _____ Title 44 CFR, part 206.221(e) defines an eligible private non-profit facility as: "...any private non-profit educational, utility, emergency, medical or custodial care facility, including a facility for the aged or disabled, and other facility providing essential governmental type services to the general public, and such facilities on Indian reservations." "Other essential governmental service facility" means museums, zoos, community centers, libraries, homeless shelters, senior citizen centers, rehabilitation facilities, shelter workshops and facilities which provide health and safety services of a government nature. All such facilities must be open to the general public. Private Non-Profit Organizations must attach copies of their Tax Exemption Certificate and Organization Charter or By-Laws . If your organization is a school or educational facility, please attach information on accreditation or certification.				
Official Use Only: FEMA- _____ -DR- _____ - _____ FIPS # _____ Date Received: _____				

TAB V-3-4 PROJECT WORKSHEET

FEDERAL EMERGENCY MANAGEMENT AGENCY PROJECT WORKSHEET				O.M.B. No. 3067-051 Expires April 30, 2001	
PAPERWORK BURDEN DISCLOSURE NOTICE					
Public reporting burden for this form is estimated to average 30 minutes. The burden estimate includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the needed data, and completing and submitting the forms. You are not required to respond to this collection of information unless a valid OMB control number is displayed in the upper right corner of the forms. Send comments regarding the accuracy of the burden estimate and any suggestions for reducing the burden to: Information Collections Management, Federal Emergency Management Agency, 500 C Street, SW, Washington, DC 20472, Paperwork Reduction Project (3067-0151). NOTE: Do not send your completed form to this address.					
DECLARATION NO. FEMA- _____ -DR- _____		PROJECT NO.	FIPS NO.	DATE	CATEGORY
DAMAGED FACILITY				WORK COMPLETE AS OF: _____ : _____ %	
APPLICANT			COUNTY		
LOCATION				LATITUDE	LONGITUDE
DAMAGE DESCRIPTION AND DIMENSIONS					
SCOPE OF WORK					
Does the Scope of Work change the pre-disaster conditions at the site? <input type="checkbox"/> Yes <input type="checkbox"/> No Special Considerations issues included? <input type="checkbox"/> Yes <input type="checkbox"/> No Hazard Mitigation proposal included? <input type="checkbox"/> Yes <input type="checkbox"/> No Is there insurance coverage on this facility? <input type="checkbox"/> Yes <input type="checkbox"/> No					
PROJECT COST					
ITEM	CODE	NARRATIVE	QUANTITY/UNIT	UNIT PRICE	COST
			/		\$0.00
			/		\$0.00
			/		\$0.00
			/		\$0.00
			/		\$0.00
			/		\$0.00
			/		\$0.00
			/		\$0.00
			/		\$0.00
			/		\$0.00
TOTAL COST					\$0.00
PREPARED BY:			TITLE:		

FEDERAL EMERGENCY MANAGEMENT AGENCY
PROJECT WORKSHEET
INSTRUCTIONS

The Project Worksheet must be completed for each identified damage project.

Projects with estimated or actual cost of damage greater than \$47,800 (FY 99) are larger projects.
Projects with estimated or actual cost of damage less than \$47,800 (FY 99) are smaller projects.

After completing Project Worksheets, submit the worksheets to your Public Assistance Coordinator.

Identifying Information

Declaration No: Indicate the disaster declaration number as established by FEMA (i.e. "FEMA 1163-DR-TN", etc.).

Project No: Indicate the project designation number you established to track the project in your system (i.e. 1, 2, 3, etc.).

FIPS No: Indicate your FIPS number within this space. This is optional.

Date: Indicate the date the worksheet was prepared in MM/DD/YY format.

Category: Indicate the category of the project according to FEMA specified work categories. This is optional.

Applicant: Name of the governmental or other legal entity to which the funds will be awarded.

Country: Name of the County where the damage is located. If located in multiple counties, indicate "Multi-County."

Damage facility: Identify the facility and describe its basic function.

Work Complete as of: Indicate the date that the work was examined in the format of MM/DD/YY and the percentage of work completed to that date.

Location: This item can range anywhere from an "address," "intersection of..." "1 mile south of...on..." to "county wide." If damages are in different locations or different counties please list each location. Include latitude and longitude of the project if known.

Damage Description and Dimensions: Describe the disaster-related damage to the facility, including the cause of the damage and the area or components affected.

Scope of Work: List work that has been completed, and work to be completed, which, is necessary to repair disaster-related damage. Include items recorded on the preliminary damage assessment.

Does the Scope of Work change the pre-disaster conditions of the site: If the work described under the Scope of Work changes the facilities conditions (i.e. increases / decreases the size or function of the facility or does not replace damaged components in kind with like materials), check (3) yes. If the Scope of Work returns the site to its pre-disaster configuration, capacity and dimensions check (3) no.

Special Considerations: If the project includes insurable work, and/or is affected by environmental (NEPA) or historic concerns, check (3) either the Yes or No box so that appropriate action can be initiated to avoid delays in funding. Refer to *Applicant Guidelines* for further information.

Hazard Mitigation: If the pre-disaster conditions at the site can be changed to prevent the disaster-related damage, check (3) Yes. If no opportunities for hazard mitigation exist check (3) no. Appropriate action will be initiated and avoid delays in funding. Refer to *Applicant Handbook* for further information.

Is there insurance coverage on this facility: Federal law requires that FEMA be notified of any entitlement for proceeds to repair disaster-related damages, from insurance or any other source. Check (3) yes if any funding or proceeds can be received for the work within the Scope of Work from, any resource besides FEMA.

Project Cost

Item: Indicate the item number on the column (i.e. 1, 2, 3, etc.). Use additional forms as necessary to include all items.

Code: If using the FEMA cost codes, place the appropriate number here.

Narrative: Indicate the work, material or service that best describes the work (i.e. "force account labor overtime", "42 in. Dia. RCP", "sheet rock replacement", etc.).

Quality/Unit: List the amount of units and the unit of measure ("48/cy", "32/ft", "6/ea", etc.).

Unit Price: Indicate the price per unit.

Cost: This item can be developed from cost to date, contracts, bids, applicant's experience in that particular repair work, books which lend themselves to work estimates, such as RS Means, or by using cost codes supplied by FEMA.

Total Cost: Record total cost of the project.

Prepared by: Record the name and the title of the person completing the Project Worksheet.

Record Requirements

Please review the *Applicant Handbook* for detailed instructions and examples.

For all completed work, the applicant must keep the following records:

- Force account labor documentation sheets identifying the employee, hours worked, date and location;
- Force account equipment documentation sheets identifying specific equipment, operator, usage by hour/mile and cost used;
- Material documentation sheets identifying the type of material, quantity used and cost;
- Copies of all contracts for work and any lease/rental equipment costs.

For all estimated work, keep calculations, quantity estimates, pricing information, etc. as part of the records to document the "cost/estimate" for which funding is being requested.

TAB V-3-5
SUMMARY OF DOCUMENTATION IN SUPPORT OF AMOUNT
CLAIMED FOR ELIGIBLE DISASTER WORK

PAGE ____ OF ____

**SUMMARY OF DOCUMENTATION IN SUPPORT OF AMOUNT
CLAIMED FOR ELEGIBLE DISASTER WORK**

Applicant _____ **Disaster #** _____ **DR-KY**

Applicant/P.A. ID No. _____

PW #: _____ (EACH PW MUST BE SUMMARIZED INDIVIDUALLY)

Payment Documentation Reference No. (Warrant, Voucher, Claim or Schedule No.)	Delivery Date of Articles or Performances services	Documentation List Documentation (Applicant's payroll, material out of Applicant's stock. Applicant owned equipment and name of vendor or contractor) by category and line item in the approved project application and give a brief description of the articles or services.	Amounts of Applicant's Eligible Costs

TOTAL COSTS FOR PAGE ____ OF ____ TOTAL \$ _____

TOTAL COSTS FOR ALL PAGES FOR PW'S \$ _____

PREPARED BY : _____ DATE _____

TELEPHONE: () _____ EXT. _____

INSTRUCTIONS
SUMMARY OF DOCUMENTATION (KyEM FORM 508)

You must prepare a Summary of Documentation for each large project, Project Worksheet (PW) after you have finished the work and paid all bills. Prepare a separate summary for each PW.

1. **Applicant:** Enter applicant's name as it appears on the Project Application, i.e. Franklin County or the City of Frankfort.
2. **Applicant/P.A. ID Number:** Enter number as it appears on the Project Application, i.e. 119-00000.
3. **DSR/PW Number:** Enter the applicable PW number as it appears on the P.2-Project Application Summary, i.e. PW 35071.
4. **Disaster Number:** Enter the number assigned to this disaster by FEMA as it appears on the Project Application, i.e. FEMA – 1310 – DR – KY.
5. **Payment Documentation and Number:** Enter Source document numbers, such as check numbers, warrant numbers, invoices, etc.
6. **Date Items or Services Delivered:** Show dates of all work on the PW. Most PW's will have work done on several days.
7. **Documentation:** Show the Category and work location, for example, Category A, Jefferson Avenue to Monroe Avenue or County Road 33.

Force account work must be broken down by labor, equipment, and materials for each PW. Labor costs must be identified by employee name, job title; hours worked, and rate of pay.

Equipment use requires a description of the equipment type (such as a Dump Truck) and capacity (cubic yards, horsepower, etc.) and hourly rate charged.

Material and supply costs must show quantity and unit price.

If the work is done by contract, identify the contractor and briefly describe the work performed.

List supplemental PW's on the same summary as the original PW. For example, PW 00001 was approved for \$5,000 and the work was performed as authorized by the PW. However, actual costs were \$8,000 and supplemental PW 00083 was written to cover the \$3,000 overrun. On the Summary of Documentation, list PW 00083 immediately after PW 00001.

8. **Claimed Amount:** Show extensions and totals of actual costs. For example, a ½ cubic yard backhoe was used for 3 hours at a rate of \$17 per hour. The claimed amount is \$51.
9. **Total Costs for this page:** Enter the total cost for this page. Indicate this page number and the total number of pages for this PW.
10. **Total Costs for all pages for this PW:** Enter the total labor costs for all pages associated with this PW.
11. **Prepared by:** Enter the information on the person preparing this form.

APPENDIX V-4
DUTIES OF THE STATE COORDINATING OFFICER

I. SITUATION AND ASSUMPTIONS

Upon appointment by the Governor, the State Coordinating Officer (SCO) assumes specific duties and responsibilities in coordination of assistance under PL 93-288, as amended. The KyEM Director shall normally be appointed as the SCO during the initial stages of disaster response.

II. MISSION

To outline the duties of the State Coordinating Officer (SCO) when appointed by the Governor.

III. DIRECTION AND CONTROL

KyEM, as representatives of the Governor, shall exercise the necessary direction and control in executing the appendix.

IV. CONCEPT OF OPERATIONS

- A. The SCO is not appointed until the Federal-State Agreement is signed by the Governor. However, the KyEM Director shall normally be designated as SCO and shall perform all SCO responsibilities during the initial stage of disaster response. The Governor may, however, appoint another individual to serve as SCO.
- B. The duties of the SCO (a Kentucky Emergency Management staff member until the Federal-State Agreement is signed) and the KyEM Operations Officer are closely related during the initial stage of response to a natural disaster in the state. These duties, however, may be separately identified. The Operations Officer is responsible for activation of the EOC, for recall of state disaster response agencies and for coordination of response activities by these agencies. The Operation and Recovery Branch shall coordinate the collection of damage assessment reports and assistance requests.
- C. When it becomes apparent that federal assistance under PL 93-288, as amended, may be required, the Operations and Recovery Branch shall compile damage assessment information and estimates and requests for assistance. The Branch Manager should ensure that information received is both accurate and includes all types of damages incurred in each impacted area. This information shall be evaluated to determine if federal assistance is required and if eligibility criteria have been met.
- D. In situations requiring a Presidential Disaster Declaration, the State shall establish timely contact with FEMA for coordination activities. The State shall also prepare the documents required for the Governor's request for federal

assistance.

- E. Subsequent to submission of the Governor's request for a major disaster declaration, KyEM shall coordinate with FEMA Region IV for the evaluation of reported damages and assistance requested. This evaluation shall generally include scheduling FEMA (or other federal agency) field surveys of the affected areas. The Operations and Recovery Branch should ensure that responsible local officials are available to accompany survey teams to the areas of significant damages
- F. If the declaration request is approved, the SCO is designated as the primary contact between, the Federal Coordinating Officer (FCO), state and local officials. In this capacity, the SCO shall be responsible for coordination of all disaster assistance activities with FEMA on behalf of state and local governments. The SCO:
 - 1. Monitors program implementation.
 - 2. Monitors public information activities.
 - 3. Assures program compliance with federal rules and regulations.
- G. During the initial stages of post declaration activity, the SCO shall function in the Disaster Field Office to insure coordination with the FCO.

APPENDIX V-5 DISASTER RECOVER CENTERS (DRC)

I. SITUATION AND ASSUMPTIONS

After a disaster declaration has been requested by the Governor and declared by the President, FEMA, in conjunction with the state, is responsible for administering and coordinating assistance in the affected area.

II. MISSION

Federal assistance is designed to supplement the assistance efforts of state and local governments in order to provide a variety of disaster assistance quickly and conveniently to individuals adversely affected by the disaster. FEMA has a tele-registration system, which is the primary means to register for disaster assistance. By calling this 800 number, disaster victims can apply for all available disaster programs from their homes and avoid the long lines associated with disaster recovery centers (DRCS). However, DRCS continue to serve a useful purpose and may be established as needed. SBA, for example will need direct contact with disaster victims to explain program criteria and will often set up small disaster recovery centers.

III. DIRECTION AND CONTROL

The Federal Coordinating Officer (FCO) is responsible for coordination of all federal disaster assistance efforts in the affected areas. The FCO works closely with the State Coordinating Officer (SCO) to assure effective implementation of assistance programs. FEMA shall assume primary responsibility for DRC operations.

IV. CONCEPT OF OPERATIONS

A. In carrying out the responsibility for federal disaster assistance, the FCO is assisted by a staff of specialists. Included as principal staff officers on the FCO's staff are the Public Assistance Officer, the Civil Rights Compliance Officer and Individual Assistance Officer. The Individual Assistance Officer is directly responsible to the FCO for all matters relating to individual assistance, including the establishment, location and operation of Disaster recovery centers and mobile teams. The Disaster Recovery Center Manager works under the direction of the Individual Assistance Officer. The FCO and staff are usually located in the Disaster Field Office established to serve as the central management point for all federal disaster operations. The FCO will manage the DRC using the National Incident management System.

B. Tasks

1. Local government shall:

- a. Provide facilities and support for the centers.
- b. Provide receptionists at the centers.

2. State Government

- a. KyEM shall:
 - 1) Identify Co-Managers for the centers.
 - 2) Identify people available to work as registrars at the center if necessary.
 - 3) Coordinate state agency representation.
 - 4) Provide resources for map reading.
- b. Health and Family Services Cabinet (H&FSC) shall provide support for
 - 1) Food Stamp assistance.
 - 2) Social Security Administration assistance.
- c. Labor Cabinet
Unemployment Assistance.
- d. H&FSC and the Kentucky Crisis Counseling Response Board (KCCRB)
Mental Health/Crisis Counseling.
- e. Revenue Cabinet shall:
Provide tax information assistance.
- f. Department of Insurance shall:
Provide advisory service regarding insurance claims.
- g. Other state agencies may be required to provide DRC personnel for specific assistance to disaster victims.

3. Voluntary agencies may also operate from the DRC.

C. The following assistance may be available through the DRC to disaster victims.

- 1. Emergency needs. Immediate shelter, food, clothing and medical aid are provided by volunteer agencies such as the Red Cross, Salvation Army,

Mennonite Disaster Service and other private relief agencies.

2. The temporary Housing Program can provide federal rental assistance to disaster victims whose verified uninsured losses or damages have a significant impact on safety, security, sanitation and habitability of a house.
 - a. Damages and losses must be disaster related and have occurred within the incidence period. The amount of assistance provided is based on actual need for the size of the family.
 - b. Homeowners and renters may receive rental assistance with the possibility that assistance can be extended on a month-to-month basis. All applicants must provide proof that additional assistance is required.
3. Disaster unemployment and job placement assistance for those who lost their job because of the disaster.
4. Distribution of food stamps to eligible victims by the U.S. Department of Agriculture through the state and county.
5. Disaster loans for refinancing repair, replacement, or rehabilitation of damaged real or personal property not covered by insurance. There are several types:
 - a. Farmers Home Administration for farmers.
 - b. Small Business Administration for all other victims including home owners, businessmen, churches and certain nonprofit organizations.
 - c. Farmers Home Administration for agricultural enterprises which were a major source of employment, but which are no longer in substantial operation.
 - d. Small Business Administration for industries and business which were a major source of employment but are not in substantial operation.
6. Financial assistance from the Agricultural Stabilization and Conservation Service, U.S. Department of Agriculture, to farmers who perform emergency conservation measures on farm land damaged by the disaster in the form of a maximum of 80% funding.
7. Internal Revenue Service can provide tax assistance in computing credits based on disaster casualty losses.
8. Veterans Administration assistance includes death benefits, pensions, insurance settlements and adjustments to VA insured home mortgages.

9. Social security can provide assistance for recipients in expediting delivery of checks delayed by the disaster. Assistance can be provided in applying for disability, death and survivor benefits.
 10. Emergency assistance and services can be provided to families under the Social Security Act in the form of funds (up to \$500) for repair of homes owned by public assistance recipients, shelter and medical care.
 11. Legal services to low income individuals who are unable to secure such services.
 12. Individuals and family grants can be utilized to meet unmet necessary expenses or serious needs of individuals or families affected by the disaster. This program is cost shared by the federal government the Commonwealth.
 13. Crisis counseling referrals to appropriate mental health agencies to relieve mental problems related to the disaster.
- D. All of the services listed above are not necessarily available in all cases even though the President may have declared an emergency or a major disaster. A major disaster or emergency declaration by the President does not automatically include all agencies with a disaster recovery mission.
- E. DRC's shall be operated in accordance with FEMA Handbook for Disaster Recovery Center Managers (300.3 REV).

V. TABS

- V-5-1 Standard Operating Procedures for Establishment and Operation of a Disaster Recovery Center.
- V-5-2 Sample Disaster Recovery Center Floor Plan and Flow Chart.
- V-5-3 Disaster Recovery Center Location

TAB V-5-1
STANDARD OPERATING PROCEDURES
FOR ESTABLISHMENT AND OPERATION OF A
DISASTER RECOVERY CENTER

I. PURPOSE

A **Disaster Recovery Center (DRC)** is a temporary operation at which victims can apply for available services to meet their disaster related needs. It is a one-stop center, which centrally locates and provides to disaster victims the various forms needed to apply for state and federal assistance. The purpose of this Standard Operating Procedure (SOP) is to provide guidance to responsible state agencies and individuals in establishing and operating a **DRC** following a Presidential Disaster Declaration.

II. EVENTS PRIOR TO ESTABLISHMENT OF A DRC

A. Presidential Disaster Declaration

B. Meetings:

1. Federal-State Coordination Meeting.
2. **DRC** Manager orientation.
3. Verifier training.

III. **DRC** MANAGER'S RESPONSIBILITIES

A. There are two separate but equal levels of activity **in DRC** operations. The first level is management of the **DRC**, while the second level is management of the individual programs within the **DRC**. This SOP is designed for the management of the **DRC**. Management of the individual programs within the **DRC** may be found in the appropriate laws, regulations, policies and guidelines.

B. Both the federal and state governments shall task an individual with **DRC** establishment and operation. The federal and state representatives shall be co-managers for **DRC** operations. In addition, the state co-manager shall be the primary contact for state agencies in the **DRC**.

C. ESTABLISHMENT OF **A DRC**

The **DRC** Managers shall be sent to the predetermined **DRC** location one day prior to the opening of the center. The managers shall be responsible for the following: (Tab V-5-2 contains a sample **DRC** configuration and processing flow chart)

1. Make contact with the building manager and secure keys to the building.

2. Designate adequate access for entering and exiting the building. Accessibility to the handicapped must be ensured.
3. If necessary, place signs to direct victims to the **DRC**.
4. Locate rest room facilities and place signs if needed.
5. Set up tables and chairs.
6. Assist in telephone installation if directed.
7. Request additional supplies if needed.
8. Set up an adequate waiting area for disaster victims.
9. Set up procedures for janitorial service.
10. If possible, contact local radio stations and newspapers to publicize **DRC** operations. The PIO at the DFO shall perform most PIO operations.
11. Conduct an orientation meeting for **DRC** personnel.
12. Be prepared to brief local, state and federal officials and the media if the PIO is unavailable.
13. Arrange for meal and break schedule with workers to ensure that stations are staffed at all times.
14. Eating, drinking and smoking should be allowed only in designated areas.
15. Put up individual agency signs within the **DRC**.
16. Use locals in the **DRC**, if possible, as receptionists, client advocates, or for public relations liaisons.

D. OPERATION OF A **DRC**

Once the **DRC** is operational, the **DRC** Managers shall:

1. Act as liaison among the federal and state programs as they compete for space, materials, etc.
2. Route victims among the various agencies to keep an even flow to the agencies' representatives.
3. Ensure that the building and equipment are not abused.

4. Coordinate traffic control to and from the **DRC** in conjunction with local law enforcement officials.
5. Submit a daily situation report to the Individual Assistance Officer at the DFO.
6. Implement a numbering system that allows victims to return to their homes and yet retain their place in line if more people are awaiting disaster assistance than can be served in a specified time. All persons who have registered or in the process of registering by closing time shall be allowed to complete the **DRC** process. Others shall be given appointments for the next day.

E. CLOSING OF A **DRC**

Once the closing date of the **DRC** has been determined, the **DRC** Managers shall:

1. Inform the agency representatives in the center.
2. Advise the owners of the facility.
3. Post telephone numbers for appropriate agencies and the federal agencies' field or regional offices.
4. Take down signs directing people to the center.
5. Ensure the facility is in a "pre-**DRC**" condition. Make note of any damages.
6. Return keys to the owner of the facility.
7. Return any borrowed tables, chairs, etc.
8. Contact County Judge/Executive and/or Mayor and inform them of the **DRC** closure. Advise them to contact the DFO if they have questions and provide them with phone numbers that disaster victims can call for assistance and/or information.

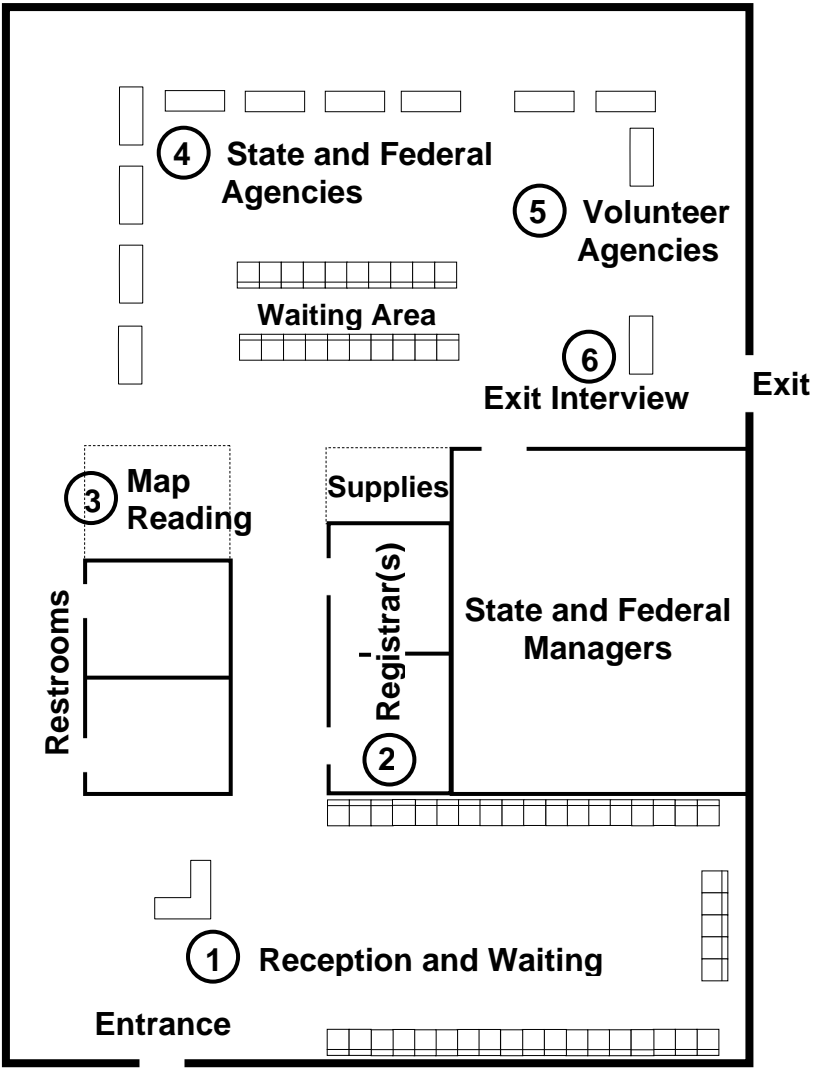
F. GENERAL INFORMATION

1. **DRC** hours of operation shall normally be **8:00 a.m. to 6:00 p.m.** except for Sundays when hours shall usually be 1:00-6:00 p.m.
2. **DRC** facilities have been pre-designated in all Kentucky counties. Pre-designation included screening to assure adequate access, floor space, sanitation, etc. **DRC** Managers shall not be expected to find or select **DRC** facilities.

3. **DRC** Managers will always contact the County Judge/Executive, Mayor, and **KyEM Area Manager** upon arriving and before departing the jurisdiction.
4. **DRC** Managers may also secure volunteer assistance from local individuals or groups, such as the County EM Coordinator, rescue squads, fire departments, church groups, social clubs and others.
5. **DRC** Managers should be aware of the need to recognize disaster victims who have serious mental problems because of the disaster. These people may need crisis counseling and should be identified at the **DRC**. Managers and workers should be prepared to face a variety of emotions in co-workers and registrants.
6. **DRC** Managers should not make predictions of eligibility to co-workers or registrants.

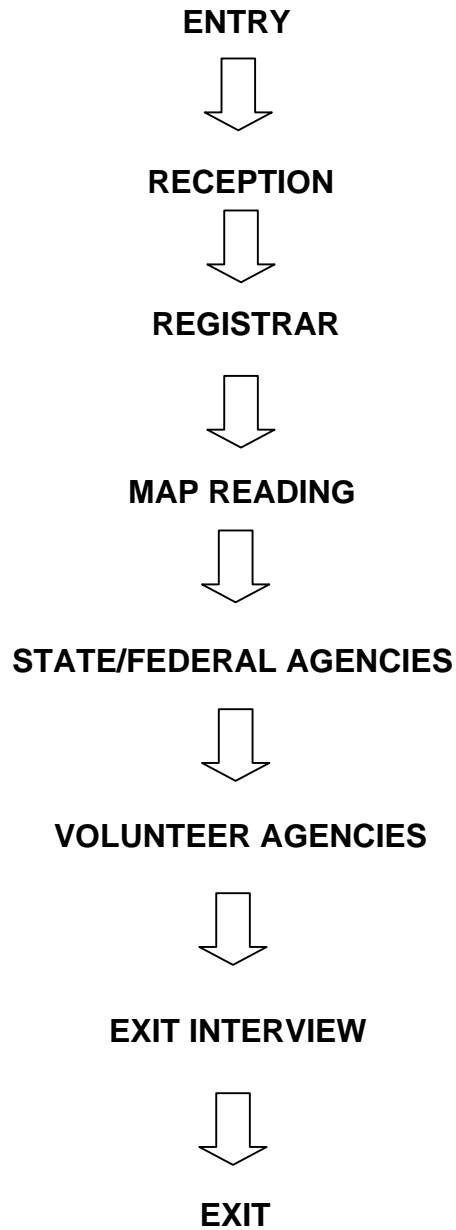
TAB V-5-2
SAMPLE DISASTER **RECOVERY** CENTER FLOOR PLAN AND FLOW CHART

SAMPLE DRC CONFIGURATION



○ = Order of Applicant Processing

DISASTER **RECOVERY** CENTER FLOWCHART



TAB V-5-3
DISASTER RECOVERY CENTER LOCATIONS
TO BE DEVELOPED LOCALLY

APPENDIX V-6
INDIVIDUALS AND HOUSEHOLD ASSISTANCE PROGRAM

I. SITUATION AND ASSUMPTIONS

Individuals and families may be financially unable to meet necessary expenses or serious needs as a result of a major disaster. Federal law authorizes grants to disaster victims with disaster related expenses and needs which cannot be met through other available assistance.

II. MISSION

To provide financial assistance to those individuals and families unable to meet disaster related necessary expenses and/or serious needs following a Presidential Disaster.

III. DIRECTION AND CONTROL

The Federal Emergency Management Agency (FEMA) is responsible for administering and coordinating the Individuals and Household Assistance Program. The State Individual Assistance Officer will be responsible for monitoring the program.

IV. CONCEPT OF OPERATIONS

- A. The Individuals and Household Assistance Program (IHP) may provide grants to individuals and families adversely affected by a major disaster. The maximum grant is based on the Consumer price Index and is reviewed annually. A grant may be awarded to enable individuals and families to meet their disaster related serious needs and necessary expenses when they are unable to meet such expenses or needs through other means.
- B. The Governor expresses the intent to implement the IHP when requesting a Presidential Disaster Declaration, or within seven days of requesting a declaration. The program cannot be implemented until the State cooperative Agreement has been approved by FEMA.
- C. The funding formula is 100% for all housing assistance and a 75% federal/25% state costs share for other needs assistance categories.
- D. The IHP is not intended to meet all disaster related losses, nor is it designed to purchase nonessential, luxury, or decorative items. IHP does not return recipients to pre-disaster status, nor does the program provide assistance for verified pre-existing conditions.
- E. Applicants with housing, personal property, or transportation needs must first apply to the Small Business Administration (SBA) and be declined a disaster loan

prior to becoming eligible for the IHP. If an applicant refuses SBA consideration, he/she is ineligible for the IHP.

F. Applications shall not be taken from individuals who have insurance coverage on their disaster-related damages and losses until after the applicant has filed his/her insurance claim. Recipients must purchase and maintain a minimum amount of flood insurance if the property is in a flood zone. If the applicant lives in a flood zone, and suffers a loss, and the jurisdiction does not participate in the National Flood Insurance Program (NFIP), a grant can not be awarded until the jurisdiction is in the NFIP. A jurisdiction has six months from the declaration date to join the NFIP.

G. Eligible needs include:

1. Housing Owners/Renters
2. Transportation.
3. Medical Personal Property
4. Medical and dental.
5. Funeral and burial.
6. Cost of required estimates.
7. Flood insurance.
8. Other.

H. The IHP is not intended to:

1. Provide assistance for needs met by other sources.
2. Return the recipient to pre-disaster condition.
3. Replace all losses.
4. Provide for pre-existing needs or debts.
5. Provide assistance for business losses.
6. Improvements or additions to property.
7. Landscaping.
8. Recreational property.

9. Non-essential store items.
 10. Gardens.
 11. Non-essential luxury and/or decorative items.
- I. **IHP** is available in jurisdictions that have been declared a major disaster area by the President. The disaster may be the result of tornadoes, flooding, high winds, storms, fire, explosions, or other hazards.
- J. There are certain eligibility rules that must be met in order to qualify for the **IHP**. Some of these rules are:
1. Applicants for assistance with housing, personal property and/or transportation needs must request assistance for a low interest loan from the Small Business Administration.
 2. Insurance claims must be filed.
 3. If certain types of assistance are requested for families living in the floodplain, a Floodplain Management Review must be performed.
 4. Applicants should accept other assistance offered. If other assistance is refused, **IHP shall** not provide assistance for the refused items.
 5. Applicants must allow an inspector to visit the damaged property and make a report.
 6. Applicants must provide any information needed for the case within 30 days of the request. This may include proof of ownership, bills and/or receipts.
 7. Applicants must agree to buy and maintain a minimum amount of flood insurance if all of the following are applicable.
 - a. Damage is due to flooding.
 - b. The residence is in the flood plain.
 - c. Assistance for the house and/or personal property is requested.
 8. If a grant recipient is required to purchase a minimum amount of flood insurance, they are required to retain that amount as long as they reside in the structure/unit. The first three-year premium is provided as part grant award. The grant recipient is responsible for paying the premium thereafter.
 9. Applicants must agree to spend grants only for approved items in approved categories and keep receipts for all expenditures for three years. Repayment

of the grant shall be required if the funds are incorrectly utilized.

- K. Some applications are accepted in a **Disaster Recovery Centers**; however, most applications are accepted by teleregistration. Applications for **IHP** are accepted for 90 days after a disaster is declared. However, if an application **for IHP** is filed after the 60th day it is considered a late application. Late applications can be approved only if extenuating circumstances caused the late application.
- L. After all information needed to process an application is received, a specially trained panel determines eligibility. If an applicant disagrees with the panel's decision an appeal can be filed. Appeals must be filed within sixty days from the date of eligibility notification.

V. ADMINISTRATIVE SUPPORT

Administrative support shall be provided by KyEM and/or temporary employees as appropriate.

VI. GUIDANCE PUBLICATIONS

A. Federal

1. Public Law 93-288, as amended by Public Law 100-107:
 - a. Section 411, Individual and Family Grant Program;
 - b. Section 401(b), Procedures;
 - c. Section 308, Non-discrimination in Disaster Assistance;
 - d. Section 312, Duplication of Benefits;
 - e. Section 313, Reviews and Reports;
 - f. Section 314, Criminal and Civil Penalties.
2. Public Law 93-234, Flood Disaster Protection Act of 1973.
3. Executive Order 11988, Flood Plain Management.
4. Executive Order 11990, Protection of Wetlands.
5. **FEMA Handbook, Individuals and Household Program**
6. FEMA Handbook, Duplication of Benefits
7. FEMA Handbook, Floodplain Management.

B. State

1. KRS 39A.050(2), 39A.070(17), 39A.200
2. Governor's Executive Order
3. IHP Cooperative Agreement Plan

APPENDIX V-7
PUBLIC ASSISTANCE PROGRAM

I. SITUATION AND ASSUMPTIONS

The Public Assistance Program, which is authorized by the Stafford Act, permits FEMA to award grants to assist State and Local governments and certain Private Non-Profit (PNP) entities with the response to and recovery from disaster. Specifically, the programs provided assistance for debris removal, implementation of emergency, protective measures, and permanent restoration of infrastructures.

II. MISSION

To provide financial assistance to state and local governments and designated private non-profit organizations to supplement efforts and resources for eligible projects. Volume Two of the State Emergency Operations Plan contains the State Administrative Plan for this program.

III. DIRECTION AND CONTROL

- A. Local jurisdictions are the first line of response and recovery to major emergencies and disasters. State and federal government agencies shall provide assistance only when local government and other resources in the jurisdiction are inadequate to recover from a major disaster or emergency. Local government and eligible private organizations through their designated Applicant's Agent should plan and coordinate the supplemental assistance provided by the Public Assistance Program.
- B. The Governor's Authorized Representatives (GAR) shall coordinate with the Federal Coordinating Officer, state agencies and local government in the response and recovery from a major emergency or disaster. The GAR:
 - 1. Reviews and approves applications prepared by other agencies, before forwarding them to FEMA for review and approval;
 - 2. Administers the program in accordance with the State Administrative Plan and federal regulations;
 - 3. Prepares and maintains the State Administrative Plan;
 - 4. Prepares the Governor's request for federal assistance;
 - 5. Trains and supervises program staff;
 - 6. Ensures applicant awareness of program assistance;
 - 7. Schedules and conducts applicant briefings;

8. Provides state support for survey activities;
 9. Disburses funds and maintains accountability;
 10. Requests and responds to inspections and audits;
 11. Completes program closure requirements.
- C. The FEMA Regional Director is responsible to the FEMA Director for all regional programs and other delegated authorities and responsibilities. The Regional Director is responsible for Public Assistance Program under Public Law 93-288, as amended, as a result of a Presidential declaration to a major emergency or disaster.
- D. The Federal Coordinating Officer (FCO) is responsible for the following:
1. Making the initial appraisal of the types of recovery assistance most urgently required;
 2. Establishing Disaster Field Offices;
 3. Coordinating the administration of recovery operations;
 4. Taking such other actions, consistent with delegated authority and federal law, deemed necessary to assist citizens and government agencies.
- E. The FCO, cooperating with the SCO, shall establish Disaster Field Office(s) at a location(s) most convenient for the administration and coordination of the federal emergency or major disaster assistance effort.

IV. CONCEPT OF OPERATIONS

- A. The types of funding options under the Public Assistance Program are explained in Tab V-3-1.
- B. Projects under the Public Assistance Program are divided into two types: Emergency Work and Permanent Work.
1. The two categories of Emergency Work are Category A-Debris Removal and Category B-Emergency Protective Measures.
 - a. Category A-Debris Removal gives priority to debris and wreckage clearance immediately necessary to save lives, to protect public health and safety, or to provide access for restoring public services.
 - b. Category B-Emergency Protective Measures must be immediately necessary to save lives or to protect public health and safety, or to protect property. Category B also includes the special types of work in the form of

emergency communications and emergency public transportation.

2. Permanent work eligible under the Public Assistance Program includes repairing, restoring, reconstructing, and/or replacing eligible facilities on the basis of the design of the facilities as they existed immediately prior to the disaster in conformity with applicable standards.

a. Categories of Permanent Work:

- 1) Category C - Road or Street Facilities.
- 2) Category D - Water Control Facilities.
- 3) Category E - Public Buildings and Related Equipment.
- 4) Category F - Public Utilities.
- 5) Category G - Parks and Recreational Facilities.

V. ADMINISTRATIVE SUPPORT

Administrative support for the Public Assistance Program shall be provided by KyEM.

VI. GUIDANCE PUBLICATIONS

Public Assistance Program State Administrative Plan.

VII. TABS

V-7-1 Mutual Aid Agreement Example

TAB V-7-1
MUTUAL AID AGREEMENT EXAMPLE

COMMONWEALTH OF KENTUCKY
CITY / COUNTY

WHEREAS, COMMONWEALTH OF KENTUCKY, KRS Chapter 39B.040 (1) authorizes the local emergency management agencies in the Commonwealth of Kentucky to contract with each other for reciprocal disaster and emergency response aid and assistance in case of disaster or other emergency too great to be dealt with unassisted, and

WHEREAS, COMMONWEALTH OF KENTUCKY, KRS Chapter 39B.090 (1) authorizes for certain reimbursements or supplemental aid to local government for disasters or emergencies declared by a city, county, urban-county government,

WHEREAS, the (City or County Name) finds it to be in its best interest to have such mutual aid agreements with other local emergency management agencies or disaster and emergency response workers, with the Commonwealth of Kentucky,

NOW, THEREFORE, in considerations of the above recitals and the covenants contained herein, the parties hereto agree as follows:

1. The (City or County Name) hereby agrees to provide through its local emergency management agency such mutual aid as may be requested by a county, urban-county, charter county, or city, which has emergency conditions of declared nature consistent with the Kentucky Emergency Operations Plan.
2. The aid rendered shall be applied uniformly in all emergency situations. This agreement must not be contingent upon a declaration of a major disaster or emergency by the federal government or on receiving state or federal funds. The judgment of the local director of emergency management agency or his/her designee shall be final as to the personnel and equipment available.
3. Personnel dispatched to aid another jurisdiction shall remain employees of (City / County), but shall work under the supervision of the (City or County) local emergency management director of the requesting jurisdiction. The (City or County) retains the right to withdraw any and all aid rendered upon direction of the local emergency management agency.
4. This agreement is treated as a contract. Therefore the labor and equipment rates outlined in this agreement are acceptable provided they are reasonable in terms and costs. The local emergency management director will provide a list of hourly rates and equipment costs, and hours worked for such aid rendered to the requesting jurisdiction for all actual cost, and the requesting jurisdiction agrees to compensate such claim for costs incurred as expeditiously as possible.

5. The county, urban-county, or city shall reimburse the county, urban-county, or city furnishing the aid for the compensation paid to employees furnished under this agreement during the time of the rendition of the aid, and shall defray the actual traveling and maintenance expenses of the employees while they are rendering the aid. Reimbursement shall include any amounts paid or due to compensation due to personal injury or death while employees are engaged in rendering aid.
6. The purpose of these recitals is to insure that the (City or County Name) is reimbursed all costs and assumes no additional liabilities as result of this agreement. Neither party to this agreement shall be liable, for its failure to refusal to render aid pursuant to this agreement. It is the sole discretion of the local emergency management director or designee in charge of operations.

IN WITNESS WHEREOF, THIS Agreement has duly executed by the parties subscribed below and is binding upon the (Date) and the requesting jurisdiction.

CITY/ COUNTY OF _____ by: _____

Date signed __/__/__

REQUESTING JURISDICTION _____ by: _____

Date signed __/__/__

APPENDIX V-8
HAZARD MITIGATION GRANT PROGRAM

I. SITUATION AND ASSUMPTIONS

- A. The Hazard Mitigation Grant Program (HMGP) can provide matching funds (75% federal, 12% state and 13% local) to state and local governments, and certain private nonprofit organizations and institutions, for immediate and long term hazard mitigation measures following a Presidential Disaster Declaration.
- B. The HMGP is administered by the KyEM with final approval of projects and technical support from the FEMA regional office.
- C. Following a Presidential Disaster Declaration, all counties, cities or communities in the state may be designated as eligible for HMGP funding. If the community is unincorporated, the county shall act as the applicant.

II. MISSION

To reduce the risk of future damages and losses as a result of major disasters by providing substantial financial support to implement cost-effective hazard mitigation measures.

III. DIRECTION AND CONTROL

The State Hazard Mitigation Officer is responsible for administering and coordinating the HMGP and State Hazard Mitigation Program. Volume Two of the State Emergency Operations Plan contains the State Administrative Plan for this program.

IV. CONCEPT OF OPERATIONS

- A. The HMGP has the following objectives:
 - 1. To prevent future losses of lives and property due to disasters;
 - 2. To implement state and local hazard mitigation plans;
 - 3. To enable mitigation measures to be implemented during the immediate recovery period;
 - 4. To provide funding for previously identified mitigation measures that benefit the disaster area.
- B. Eligible applicants are:
 - 1. State and local governments.

2. Certain private nonprofit organizations or institutions.
 3. Indian tribes or authorized tribal organizations and Alaska native villages or organizations.
- C. The HMGP can be utilized to fund projects to protect either public or private property. Examples of projects include:
1. Structural hazard control, such as debris basins or floodwalls.
 2. Retrofitting, such as flood proofing to protect structures from future damages.
 3. Acquisition and relocation of structures from hazard prone areas.
 4. Up to 5% of the total HMGP funds available to the state can be used for projects whose benefits are not clearly measurable. Examples include:
 - a. The use or evaluation of new, unproven mitigation techniques or products.
 - b. Public warning equipment and systems.
 - c. Hazard identification or mapping.
 - d. Projects eligible under the regular HMGP Program but fall below cost effectiveness thresholds.
 5. Development of state and local standards to protect new and substantially improved structures from damages.
- D. A Letter of Intent for a proposed project must be submitted to KyEM from the appropriate jurisdiction within 60 days of being included in the original disaster declaration. The application must be submitted within 60 days after the due date of the Letter of Intent.
- E. The Hazard Mitigation Grant Program Administrative Plan governs how the projects are selected for funding. Proposed projects must meet certain minimum criteria which is designed to insure that the most cost effective and appropriate projects are selected for funding. Both federal law and regulations require that the projects are part of the overall mitigation strategy for the disaster area.
- F. It is the responsibility of the State Hazard Mitigation Team to select and prioritize projects to be submitted to FEMA for funding. The team is designed/appointed by state agencies having hazard mitigation responsibilities and experiences.
- G. Each application shall be reviewed for eligibility in accordance with the criteria contained in the Hazard Mitigation Grant Program State Administrative Plan and State Hazard Mitigation Plan. It is the responsibility of the State Hazard Mitigation Team to select and prioritize projects to be submitted to FEMA for

funding. The State Hazard Mitigation Officer shall serve as the coordinator of the state team. The State Hazard Mitigation team also serves, as appropriate, as technical advisors to the State Hazard Mitigation Officer and applicants in preparing detailed or technical information that may be required before project submission to FEMA or for the administration of the program.

V. ADMINISTRATIVE SUPPORT

Administrative support shall be provided by KyEM and/or state agencies as appropriate.

VI. GUIDANCE PUBLICATIONS

- A. Hazard Mitigation Grant Program State Administrative Plan.
- B. Local Hazard Mitigation Program Handbook.
- C. Hazard Mitigation Grant Program Handbook.
- D. Hazard Mitigation Grant Program Administrative Handbook.

APPENDIX V-9 STATE DISASTER RECOVERY CENTERS

I. SITUATION AND ASSUMPTIONS

Disaster incidents not declared for federal assistance will be evaluated to determine the need to operate a state Disaster Recovery Center (DRC) in the affected area. It is not expected that every incident or disaster will result in the opening of a DRC. When circumstances warrant, the Kentucky Division of Emergency Management (KyEM) is responsible for coordinating with other state agencies, local government and volunteer organizations to provide assistance in the affected area.

II. MISSION

A coordinated effort will be made to provide assistance from every available public and private resource. In order to provide a variety of disaster assistance quickly and conveniently to individuals adversely affected by the disaster, a state Disaster Recovery Center will be established in or near the affected area. The DRC is established to provide a central location where victims of the disaster can obtain information about available assistance. Co-locating all sources of aid will simplify the disaster victim's task of seeking information and assistance.

III. DIRECTION AND CONTROL

Director of KyEM, at the direction of the Governor, is responsible for the coordination of all disaster assistance efforts in the affected area. The director will work closely with the Disaster Assistance Branch and other agencies and organizations to assure effective implementation of assistance programs. KyEM will assume primary responsibility for Disaster Recovery Center operations.

IV. CONCEPT OF OPERATIONS

In carrying out the responsibility for coordinating available disaster assistance, the Executive Director will be assisted by KyEM staff. The Assistant Director and the Disaster Assistance Branch will be directly responsible to the Director for all matters relating to the coordination of assistance, including the establishment, location and operation of the Disaster Recovery Center. KyEM Area Managers will work with local and EM officials to identify facilities that can be used as DRCs. The Public Information Officer (PIO) for KyEM will develop news releases and other public information materials and will coordinate their release with local officials. KyEM and local government personnel will be in positions of center manager, assistant manager, public information officer, registrar, exit interviewer and receptionist. Other state agencies, local government and volunteer organizations will provide personnel as program representatives of their respective organizations.

V. RESPONSIBILITIES OF LOCAL GOVERNMENT

Local government will coordinate with local non-profit service agencies to provide

services and support to disaster victims. Local governments will also assume the following responsibilities in the operations of the Disaster Recovery Center:

- A. Provide facilities and support (i.e., phone services, copy machines, etc.).
- B. Provide security.
- C. Assist in traffic control.
- D. Assist in disseminating information pertaining to location, dates, time, purpose of the center.
- E. Provide receptionist.

VI. RESPONSIBILITIES OF STATE GOVERNMENT AGENCIES

At the direction of the Governor, the following agencies may be directed to provide staff support, services and resources upon the occurrences of a disaster and during the implementation of a Disaster Recovery Center. Additional support, services and/or resources may be utilized at the Governor's discretion. In addition, state agencies not listed may be directed to provide support.

A. Department of Military Affairs (Kentucky National Guard)

Provide support to state and local agencies in disaster and emergency operations by removing debris, opening roads, and providing security. Other services may be provided as needed.

B. Kentucky Division of Emergency Management

1. Serve as lead agency in coordinating response and recovery efforts with state and local agencies and volunteer organizations.
2. Identify facilities, in conjunction with local EM officials, to be used as Disaster Recovery Centers.
3. Provide staff to serve as DRC manager, DRC assistant manager, PIO, registrars and exit interviewers.
4. Assign staff to serve as legislative liaison regarding disaster activities.
5. Prepare flyers, press releases and other public information materials concerning DRC operations and assist local government in disseminating information.

C. Kentucky Housing Corporation (KHC)

1. Provide grants and/or low interest loans to KHC eligible disaster victims to repair or replace damaged homes;
2. Provide loan funds to purchase land and develop sites, to include water, electrical and sewage systems;
3. Provide assistance in locating/obtaining rental housing.

D. Department for Local Government

1. Assist in making application for funds to purchase building sites, to construct homes, and to repair damaged homes.
2. Assist in making application for funds for site development to include water, sewage and electrical systems.

E. Cabinet for Health Services

1. Provide for public health and medical services, to include mental health/crisis counseling.
2. Distribute information regarding well water purification.

F. Cabinet for Families and Children

1. Assist in replacing lost food stamps and/or agency benefit checks.

G. Transportation Cabinet

1. Coordinate state's transportation resources.
2. Provide personnel and equipment to remove debris and to repair roads and bridges.

H. Natural Resources and Environmental Protection Cabinet

1. Provide emergency technical services such as surveying property, reading flood maps to determine flood zones, issuing building permits, assisting in waste water disposal and assisting in the location of sites for waste disposal;
2. Provide Community Flood Damage Abatement Program (CFDAP) funding, as monies are made available.
3. Provide information concerning the National Flood Insurance Program (NFIP).

I. Revenue Cabinet

Provide tax advice and assist disaster victims in replacing lost tax forms,

extending filing deadlines and amending tax forms.

J. Department of Insurance

Provide general information and counsel to disaster victims experiencing problems with insurance settlements.

K. Attorney General

1. Provide advice to disaster victims regarding consumer protection issues.

2. Investigate reports of price gouging.

L. Kentucky Bar Association

Assist disaster victims in deed transfers and replacing lost deeds, wills and other legal documents.

VII. VOLUNTEER/PRIVATE RELIEF ORGANIZATIONS

Various volunteer and private relief organizations will act in close cooperation with state and local governments to provide emergency and long-term recovery. Assistance provided includes, but may not be limited to, temporary housing, repairing and replacing damaged homes, essential household furnishings, food, clothing and medical needs. These organizations include, but are not limited to, the American Red Cross, Salvation Army, Kentucky Baptist Convention, Kentucky Council of Churches, and Seventh Day Adventists.

VIII. TABS

V-9-1 Standard Operating Procedures for Establishment and Operation of a Disaster Recovery Center.

TAB V-9-1
STANDARD OPERATING PROCEDURES
FOR ESTABLISHMENT AND OPERATION OF A
STATE DISASTER RECOVERY CENTER

I. PURPOSE

- A. A state Disaster Recovery Center (DRC) is established in the disaster area as a central location where individuals can apply for various types of assistance to help meet their disaster related needs. After an initial interview, disaster victims are directed to one or more agencies providing information and assistance most likely to meet the needs of the individual. Representatives of state and local agencies and volunteer organizations are co-located to simplify the disaster victims' task of seeking information and assistance.
- B. A DRC will be set up in a county/city affected and may serve other surrounding counties/cities. If necessary, additional DRCs may be opened in other affected counties/cities. Disaster Recovery Centers will remain operational as long as necessary to adequately serve disaster victims.
- C. The purpose of this Standard Operating Procedure (SOP) is to provide guidance to responsible individuals, agencies and organizations in establishing and operating a DRC.

II. EVENTS PRIOR TO ESTABLISHMENT OF A DRC

- A. Issuance of a written declaration of a local emergency, request for state assistance, and submission of damage assessment report by the chief executive of the affected governmental jurisdiction.
- B. Issuance of a Governor's Executive Order directing DRC establishment upon the advice and consultation of the Director, KyEM, when the disaster involves property damage and human suffering.
- C. Cabinet meeting conducted by the Governor's Office to designate agency response and cooperation in the recovery process.
- D. Selection by KyEM of DRC location and facility.
- E. Agency notification by KyEM of DRC location, opening date and reporting time.
- F. DRC briefing by KyEM for state, local and volunteer organization representatives.
- G. Orientation for operations personnel: assistant DRC manager, receptionist, registrars, and exit interviewers.

III. DRC MANAGER

- A. The Individual Assistance Officer (IAO), KyEM Area Manager, or the Office

Manager may serve as DRC manager and act as liaison with various agencies located at the center.

- B. The DRC Manager will provide training and guidance to the receptionist, registrar(s) and exit interviewer(s).
- C. Each DRC may also have an assistant manager to be identified by KyEM.
- D. Clerical support will be provided for the DRC manager if necessary.

IV. PUBLIC INFORMATION OFFICER

- A. The KyEM Public Information Officer (PIO) will serve as spokesman for all agencies involved in DRC operations.
- B. The PIO will maintain DRC representation.
- C. The PIO will prepare and coordinate press releases with state, local and volunteer agencies.
- D. The PIO will coordinate the preparation and distribution of informational flyers and posters.

V. OPERATION OF THE DRC

Once the Disaster Recovery Center is operational, the DRC Manager shall:

- A. Determine if all applicable state agencies are represented in the DRC and transmit request for additional agencies/personnel/support if necessary.
- B. Route applicants among the various agencies to keep an even flow to the various agency representatives.
- C. Ensure that the building and equipment are not abused.
- D. Coordinate traffic control to and from the DRC in conjunction with local law enforcement officials.
- E. Prepare a daily DRC activity report.
- F. Ensure that the hours of operation are adhered to; normally 8:00 a.m. – 6:00 p.m., Monday through Saturday; 10:00 a.m. – 6:00 p.m., on Sunday (may vary by disaster).
- G. Ensure that all persons who have registered or are in the process of registering by closing time are allowed to complete the DRC process. Others shall be given appointments for the next day.

H. Provide pertinent and timely information regarding DRC activities to PIO.

VI. CLOSING OF THE DRC

Once the closing date of the DRC has been determined, the DRC Manager shall:

- A. Notify the PIO and agency representatives.
- B. Advise the owners of the facility.
- C. Post telephone numbers for appropriate agencies' field or regional offices.
- D. Retrieve signs directing applicants to the center.
- E. Ensure the facility is in "pre-DRC" condition; make note of any damages.
- F. Return keys to the owner of the facility.

VII. FOLLOW-UP COORDINATION

After the DRC is closed, KyEM will coordinate follow-up meetings with agency representatives to ensure that assistance is provided as quickly as possible and to compile historical information for future reference.

APPENDIX V-10 STATE DONATIONS PLAN

I. SITUATION AND ASSUMPTIONS

Many disaster incidents create a need to coordinate donations of unsolicited goods and services, along with spontaneous or unaffiliated volunteers. It is not anticipated that every disaster incident will result in the donation of goods and services.

- A. When circumstances warrant, a united and cooperative effort by state, federal and local governments, private volunteer organizations, the private sector and the donor community is necessary for the successful management of unsolicited and non-designated donations. This plan outlines a system for managing the onslaught of unsolicited and non-designated goods that invariably make their way to the disaster area.
- B. Because private volunteer organizations are experienced in managing donations and have existing capabilities to receive, process and deliver needed goods and services to disaster victims, the State will look to those organizations for providing a means to implement the donations management system.
- C. The State's role in allocation and distribution will be limited to providing a means to coordinate response needs with offers of goods and services. This will be accomplished through a Donations Coordination Team representing State, Local and Volunteer/Non-Profit agencies.

II. MISSION

The Kentucky Division of Emergency Management (KyEM) will work closely with Kentucky Volunteer organizations who have agreed to help coordinate this effort. The State Donation Plan will not interfere with any individual volunteer organization's policy concerning donations. Rather, the intent is the incorporation of all private volunteer organizational policies in order to provide a means for optimal coordination in responding to the needs of disaster victims in the most efficient and timely manner possible.

III. DIRECTION AND CONTROL

This donation plan and implementing procedures will be activated in the event of a catastrophic disaster or other significant disaster causing a major need for resources. The Director, Kentucky Division of Emergency Management, will determine when these resources will be implemented and will notify appropriate KyEM personnel, local government officials and participating volunteer organizations prior to public notification.

IV. CONCEPT OF OPERATIONS

- A. When the disaster situation warrants, the Director will assign KyEM staff to serve, along with volunteer non-profit agency representatives on a needs assessment team. The team will deploy to the affected area to determine the initial “needs list” for donated goods and to identify operating facilities to be used for donations management. Needs assessment is an ongoing process.
- B. Upon implementation of the State Donations Plan, the Director will designate a KyEM staff member as donations coordinator to assist the Donations Coordination Team in facilitating transactions concerning offers of cash, goods and services during the disaster operations.
- C. The Federal Emergency Management Agency Voluntary Agency Liaison, the state donations coordinator and representatives of participating volunteer organizations may be assigned to a Donations Coordinations Center (DCC) at the onset of the disaster. This DCC may be the central location for the Donations Coordination Team. The DCC may be co-located with another facility such as an Emergency Operations Center or a Disaster Field Office.
- D. Once the plan is implemented, participating volunteer organizations will provide KyEM with phone numbers and other pertinent information in order to begin an effective communications process. This information will be provided to the DCC.
- E. The DCC is tasked with facilitating the matching of donated goods and services with all organizations involved.
- F. A central phone number may be established for response to inquiries concerning donations. The number of operators needed will be determined based on the circumstances of the particular disaster incident.
- G. A database will be utilized for documenting all donated resources. Donations information will be made available to all participating agencies, volunteer organizations, emergency responders, and Emergency Support Functions (ESFs), as set forth in the National Response Plan.
- H. Information regarding individuals and businesses soliciting contracts for goods or services will be recorded separately from donated goods and services.
- I. For the proper management of unsolicited and non-designated donations, operating facilities will include checkpoints, staging areas, donations coordination centers, distribution centers and storage warehouses.
- J. KyEM will coordinate with Local Governments, Volunteer-Non-profit Agencies and FEMA to identify appropriate facilities to serve as donations coordination centers, distribution centers and storage warehouses.

- K. FEMA will support the State in any resource requirements, as appropriate, to make facilities operable in a timely manner.
- L. When necessary, KyEM will coordinate with the Health and Family Services Cabinet (H&FSC) and other state agencies to provide personnel to assist in managing operating facilities and donations phone lines.
- M. Twenty-four hour security of facilities and for personnel will be provided.
- N. KyEM will coordinate with the Transportation Cabinet (KyDOT), the Kentucky State Police (KSP), and other state agencies and local governments to identify and manage checkpoints and staging areas for incoming donations. Weigh stations and rest areas will be considered for this use.
- O. KyEM will coordinate with KyDOT and KSP in directing vehicles and trucks bringing donations into the State. Road signs should be posted and clearly marked.
- P. Distribution centers will be operated by local governments, local churches, community-based organizations and volunteer agencies to provide donated goods directly to disaster victims.
- Q. Volunteer agencies active in the disaster may operate independent facilities for coordinating designated donations and donations that are specifically solicited by their agencies.
- R. Sanitation for volunteer and staff living on-site is a requirement. Port-o-Johns and facilities to wash will be required.
- S. Arrangements will be made for feeding volunteers and staff. Mass feedings may be available through a volunteer agency with a mobile kitchen. Shuttle services to local eateries will be provided when warranted.
- T. KyEM through news releases and printed materials, will encourage cash donations rather than clothing, food or other items. Any information provided to the media will be coordinated by the appropriate key players before being released to the press.
- U. No attempts will be made by anyone involved in the coordination and implementation of this plan to solicit donations for any specific organization.
- V. In circumstances where the donor is undecided or is unaware of which organizations are involved in disaster relief activities, the individual responding to the inquiry may provide a list of those organizations that are in need and will accept the particular goods or services being offered.

1. If a cash donation is involved, a complete list of VOAD organizations providing disaster assistance in the State will be provided to the donor.
 2. KyEM will make every effort to insure that information about offers of goods and services are available to volunteer/non-profit agencies.
- W. Donors will be encouraged to make their own decision in choosing to which organization the donation is to be designated.
- X. Donors will be advised to properly package and label all goods and to provide a detailed inventory list with shipments.
- Y. KyEM will work with the appropriate state and federal agencies to coordinate waste disposal operations. It may be necessary to maintain a waste disposal contract to effectively dispose of a considerable amount of cardboard, paper, metal and spoiled or unsafe containers of goods.
- Z. KyEM will coordinate with the Kentucky State REACT Council to provide amateur radio and other mobile radio communications. For example, REACT may provide truck drivers with directions to the appropriate donations facilities.

V. ADMINISTRATIVE SUPPORT

- A. Administrative support will be provided by other state agencies and volunteer organizations in implementing the Donations Plan. The Temporary personnel will be employed on an as needed basis.
- B. Technical assistance is available from FEMA to provide guidance on:
1. Establishing a Donations Coordination Team.
 2. Establishing a Donations Coordination Center.
 3. Processing offers.
 4. Evolving from response to recovery.
 5. Establishing donations hot line/phone bank.
 6. Developing Press Releases.

VI. DESIGNATED DONATIONS

- A. Every effort will be made by the state to encourage the public to contribute cash donations to established, recognized disaster relief organizations of their choice. All inquiries concerning donations for a specified organization will be referred to that organization.

- B. The organization accepting/receiving designated donations will follow its own policies and procedures for handling the logistics involved.

VII. NON-DESIGNATED CASH DONATIONS

- A. Even after being asked not to send cash directly to the state, some donations may be received. To prepare for that contingency, The Governor has established an approved Disaster Donations Fund. Cash contributions received but not designated to a specified organization will be deposited in the Disaster Donations Fund account. Donors who do not wish to specify their cash contribution to a particular volunteer organization will be advised to make donation check payable to the Disaster Donations Fund.
- B. Allocations of funds from the Disaster Donation Fund will be done by the Donations Coordination Team
- C. Volunteer Organizations, churches and other non-profit entities may apply for grants from the Disaster Donation Funds so long as the grant is used specifically for disaster related needs and expenses.
- D. Grantees cannot use any portion of a grant for administrative expenses. Grantees will be required to submit documentation of expenditures.
- E. The Governor may assign the Donation Coordinator and/or other KyEM staff members the responsibility of reviewing applications, preparing a brief summary for each application and submitting recommendations to the Donations Coordination Team.
- F. Surplus non-designated cash donations will be used only for needs and expenses resulting from in state declared disasters.
- G. Donors will be advised that any cash contributions remaining in the Disaster Donations Fund account after all current disaster needs and expenses have been met will be used in future in state declared disasters.

VIII. UNSOLICITED/NON-DESIGNATED DONATIONS

- A. Donors will be discouraged from sending unsolicited donations directly to the disaster site.
- B. Donors, who insist on donating unsolicited or unwanted goods, will be told the goods cannot be accepted at this time, the information will be entered into a data base and made available to federal and state governments, volunteer organizations and other emergency responders, should a need arise for such goods.
- C. Good not requested but which can be used will be made available to all participating volunteer organizations and other specialized existing non-profit

organization such as Goodwill Industries or a local community-wide food bank.

- D. When possible, unneeded goods such as clothing shall be recycled or redistributed to others in need.
- E. KyEM will follow established guidelines for tracking the receipt and distribution of unsolicited and non-designated goods.

IX. VOLUNTEER SERVICES

- A. KyEM will encourage individuals interested in volunteering services to affiliate with a recognized private volunteer organization or other organized group of their choice to facilitate relief activities.
- B. Unaffiliated volunteers will be discouraged from going directly to any disaster site.
- C. KyEM Area Managers and local EM Directors may be asked to identify potential volunteers with specific technical skills.
- D. Certification and credentials will be required of some volunteers such as doctors, nurses and certain other specialist to ensure volunteers are qualified to provide the services they offer.
- E. KyEM may identify a Volunteer Center, depending on the disaster needs and the number of offers to volunteer that are received.
- F. Volunteers will be advised they must be fully self-supporting for at least the first 72 hours.
- G. Organizations will be encouraged to provide volunteers with easily recognizable identification.
- H. Volunteer organizations involved in the disaster will request public volunteers, as needed, from the Donations Coordination Center.
- I. Requests from the disaster affected community for public volunteers will be made through the State Emergency Operation Center (KyEOC).

X. CORPORATE DONATIONS

- A. Corporate offers of bulk items will be accepted if the items can be used in the disaster response and relief efforts.
- B. Information concerning corporate offers of bulk items will be entered in the resource data base.

- C. When necessary, information concerning the proper use of items being donated and expiration dates will also be entered in the data base.
- D. Corporate donors will be advised to label goods and to provide a detailed inventory list with all shipments.
- E. Information on these resources will be made available to all private volunteer organizations, emergency responders and ESFs when operational, through the resource database.

XI. PUBLIC INFORMATION

- A. KyEM, in conjunction with private volunteer organizations, will develop a program to educate the media, government officials, and the public concerning donations.
- B. The public information program will be designed to encourage cash donations and to limited or stop the arrival of unneeded good and services.
- C. The program should reach a wide variety of organizations such as civic and church groups, unions, state, and other interest groups.
- D. Press releases will be issued immediately following a major disaster. These press releases will encourage cash donations to the private volunteer organizations and will briefly explain some of the problems associated with unsolicited goods and services.
- E. Press releases will be determined by an assessment of needs.
- F. Volunteer organizations are responsible for representing their own organizations; however, prior coordination between key players should take place to ensure that messages to the public are consistent.

XII. EXEMPTION FROM LIABILITY

KSR 39A.280 exempts the state, political subdivisions and their representatives from liability for personal injury or property damage sustained by any one person appointed or acting as a volunteer disaster and emergency services worker, or member of any agency engaged in disaster and emergency services or disaster and emergency response activity.

XIII. CHARITABLE CONTRIBUTION (Tax-Write-Off)

Under Section 170 of the Internal Revenue Code, donations made to non-profit, tax exempt organizations can be deducted on individual tax returns, to the extent allowed by law.

XIV. AUDITS

- A. The organization accepting designated donations of goods and/or cash will follow its own internal policies and procedures for audits.
- B. The Board of Directors appointed by the Governor is responsible for insuring that an audit of the non-designated cash donations which are accepted and deposited in the Disaster Donations Fund account be conducted. The audit will be conducted in accordance with Generally Accepted Accounting Principles (GAAP).

XV. CASUALTIES

A list of the dead and injured is not available through the Donation Hot Line or through the Donation Coordination Center. Any inquiries received will be referred to the American Red Cross Disaster Welfare Inquiry (DWI) System.

XVI. TRAINING

- A. FEMA will offer Train the Trainer Donation Management training in order to develop a cadre of trainers available throughout the year for state training opportunities. Training may be obtained through courses, modules and EENET.
- B. KyEM, along with participating volunteer organizations, will ensure that all persons involved in implementing the Donations Plan are trained and familiar with its contents.

APPENDIX V-11
STAGING AREAS BY COUNTY

<u>COUNTY</u>	<u>STAGING AIRPORT</u>
Adair	Russell County Airport
Allen	Bowling Green Airport
Anderson	Frankfort, Capital City Airport
Ballard	Barkley Airport
Barren	Bowling Green Airport
Bath	Montgomery County Airport
Bell	Middlesboro Airport
Boone	Greater Cincinnati Airport
Bourbon	Bluegrass Airport
Boyd	Huntington or Ashland Airport
Boyle	Goodall Field
Bracken	Greater Cincinnati Airport
Breathitt	Julian Carroll Airport
Breckinridge	Godman Field
Bullitt	Louisville International Airport
Butler	Bowling Green Airport
Caldwell	Hopkins County Airport
Calloway	Graves County Airport
Campbell	Greater Cincinnati Airport
Carlisle	Barkley Airport
Carroll	Greater Cincinnati Airport
Carter	Ashland/Boyd Airport
Casey	Goodall Field
Christian	Ft. Campbell Airport
Clark	Bluegrass Airport
Clay	London/Corbin Airport
Clinton	Russell County Airport
Crittenden	Sturgis Airport
Cumberland	Russell County Airport
Daviess	Owensboro Airport
Edmonson	Bowling Green Airport
Elliott	Montgomery Co. or Ashland Airport
Estill	Madison County Airport
Fayette	Bluegrass Airport
Fleming	Mason/Fleming Airport
Floyd	Big Sandy Airport

Franklin	Capital City Airport
Fulton	Graves County Airport
Gallatin	Greater Cincinnati Airport
Garrard	Goodall Field
Grant	Greater Cincinnati Airport
Graves	Graves Co/Mayfield. Airport
Grayson	Godman Field
Green	Taylor County Airport
Greenup	Ashland/Boyd Airport
Hancock	Owensboro Airport
Hardin	Godman Field, Fort Knox
Harlan	Bell County Airport
Harrison	Bluegrass Airport
Hart	Bowling Green Airport
Henderson	Evansville or Owensboro Airport
Henry	Capital City Airport, Frankfort
Hickman	Graves County Airport
Hopkins	Hopkins County Airport
Jackson	London/Corbin Airport
Jefferson	Louisville International Airport
Jessamine	Bluegrass Airport
Johnson	Big Sandy Airport
Kenton	Greater Cincinnati Airport
Knott	Eastern Kentucky Regional Airport
Knox	Bell County Airport
Larue	Nelson County Airport
Laurel	Corbin/London Airport
Lawrence	Big Sandy Airport
Lee	Julian Carroll Airport
Leslie	Eastern Kentucky Regional Airport
Letcher	Eastern Kentucky Regional Airport
Lewis	Mason Fleming Airport
Lincoln	Goodall Field
Livingston	Sturgis Airport
Logan	Russellville/Logan County Airport
Lyon	Hopkins County Airport
McCracken	Barkley Airport
McCreary	Pulaski County Airport
McLean	Owensboro Airport

Madison.....	Madison County Airport
Magoffin	Julian Carroll or Big Sandy Airport
Marion	Lebanon/Springfield Airport
Marshall.....	Graves County Airport
Martin	Big Sandy Airport
Mason	Mason/Fleming Airport
Meade	Godman Field, Ft. Knox
Menifee	Montgomery County Airport
Mercer	Goodall Field
Metcalfe.....	Bowling Green Airport
Monroe	Bowling Green Airport
Montgomery	Montgomery County Airport
Morgan.....	Big Sandy Airport
Muhlenberg	Hopkins County Airport
Nelson	Nelson County Airport
Nicholas	Bluegrass Airport
Ohio.....	Owensboro Airport
Oldham.....	Louisville International Airport
Owen.....	Frankfort, Capital City Airport
Owsley	Julian Carroll Airport
Pendleton	Greater Cincinnati Airport
Perry.....	Eastern Kentucky Airport
Pike	Hatcher Field
Powell.....	Montgomery County Airport
Pulaski.....	Somerset or London/Corbin Airport
Robertson.....	Mason/Fleming Airport
Rockcastle.....	London/Corbin Airport
Rowan	Montgomery County Airport
Russell	Russell County Airport
Scott.....	Bluegrass Airport
Shelby	Frankfort, Capital City Airport
Simpson	Bowling Green Airport
Spencer.....	Louisville International Airport
Taylor	Taylor County Airport
Todd	Ft. Campbell Airport
Trigg	Ft. Campbell Airport
Trimble	Louisville International Airport
Union.....	Sturgis Airport
Warren	Bowling Green/Warren County Airport
Washington	Marion/Crittenden Airport

Wayne	Pulaski County Airport
Webster.....	Sturgis Airport
Whitley	Corbin/London Airport
Wolfe	Julian Carroll Airport
Woodford.....	Bluegrass Airport

APPENDIX V-12 RESTORATION OF DOCUMENTS

I. SITUATION AND ASSUMPTIONS

Disasters can result in the damage or destruction of paper, film and electronic documents and historical artifacts.

II. MISSION

To identify how counties can minimize the effects of disasters on vital records.

III. DIRECTION AND CONTROL

- A. Local Direction and Control for this Appendix will be provided by the Emergency Management Director.
- B. Direction and Control on the state level will be provided by the Kentucky Department of Libraries and Archives.

IV. CONCEPT OF OPERATIONS

- A. The Kentucky Department of Libraries and Archives can provide trained personnel, or provide guidance in obtaining trained personnel, to assist in the restoration and retrieval of damaged paper, film, and electronic documents.
- B. The Kentucky Historical Society can provide trained personnel, or guidance in obtaining trained personnel, to help conserve and restore historical artifacts and documents.
- C. The preservation of damaged documents and artifacts must begin as soon as it is safe to gain access to the damaged documents.
- D. It is impossible to return damaged documents and artifacts to their original state, but the information they contain can often be retrieved.

V. ADMINISTRATIVE SUPPORT

- A. Local administrative support for this appendix will be provided by local resources.
- B. State level administrative support will be provided by the Kentucky Department of Libraries and Archives.

APPENDIX V-13 DEBRIS REMOVAL

I. SITUATION AND ASSUMPTIONS

- A. A catastrophic or major disaster will cause unprecedented property damage.
- B. Structures such as homes, buildings, bridges, trees, and utility poles will be destroyed making streets and highways impassable.
- C. Rapid damage assessment of the disaster area will be required to identify effects of debris on transportation routes as well as health and environmental hazards.
- D. Public utilities may be damaged and may be partially or fully inoperable.
- E. The disaster may affect the lives of many state and local response personnel, preventing them from performing their essential emergency duties.
- F. Sufficient resources may not be available to state and local agencies to meet emergency requirements for debris removal.
- G. Assistance from the federal government may be needed to clear debris, perform damage assessment, evaluate structural weakness, make emergency repairs to essential public facilities, reduce hazards by stabilizing or demolishing structures and provide emergency water for human health needs and firefighting.
- H. Emergency environmental waivers and legal clearances will be needed for disposal of materials from debris clearance and demolition activities.
- I. Debris operations will be conducted and coordinated by use of the National Incident Management System (NIMS).
- J. Debris removal is a major component of most disaster recovery operations. Following a natural disaster, debris removal must begin immediately in certain areas of the community in order to protect public health and safety. Debris, in most cases, is caused by high winds, floodwaters, earthquakes, landslides or fires. The following describes the composition and distribution of debris frequently generated by various disaster agents:

1. Tornadoes

Damage from tornadoes is caused by high velocity rotating winds. The severity of the damage depends on the size of the tornado funnel and the length of time the funnel is on the ground. Tornado debris consists of damaged and/or destroyed structures, trees and personal property. Debris is usually confined along a narrow path up to one-half mile wide from a hundred yards to several miles long.

2. Floods

The damage from floods is caused by structural inundation and high velocity waters. Structural damage is usually limited to the floodway and the floodplain area immediately adjacent to the stream. Heavy structural damage may result from high velocity waters in mountainous areas or failure of a flood control project such as a dam levee. Flood debris consists of sediments deposited on public and private property and discarded personal belongings from flooded homes. Additionally, heavy rains and floods may cause bridges to be washed away and can produce many landslides. Debris from landslides consist primarily of soil, gravel, rock and some construction materials.

3. Earthquakes

The damage from catastrophic earthquakes are caused by shockwaves and earth movements along the fault lines. Secondary damages such as fires and explosions may result from the disruption of utility systems. Debris consists of building materials, personal property and sediments caused by landslides.

- K. Federal assistance, when made available, will be provided under ESF #3 "Public Works and Engineering" of the National Response Plan".

II. MISSION

To provide access by clearing debris from highway and/or waterways as quickly as possible with the resources available. To provide emergency road repairs to support immediate health and safety needs. To properly dispose of debris in the most economical and efficient method possible complying with all policies and ordinances established by local jurisdictions.

III. DIRECTION AND CONTROL

- A. Local government has the initial responsibility for debris removal. However, if the emergency or disaster is beyond the capability of local government, they may request assistance from the state, other local governments, contractors, etc.
- B. After the state has exhausted all resources available in an effort to provide local government with the support they need to recover from the event, they may request assistance from the federal government.
- C. After all resources from state and local government have been exhausted, the Governor may request a Presidential Disaster Declaration under the provisions of PL 93-288, as amended, which will make certain federal agencies available to assist state and local governments, private non-profit organizations, small businesses, farmers and individuals recover from the disaster.

IV. CONCEPT OF OPERATION

A. The project planning process followed in developing an effective debris removal plan consists of three basic planning requirements. The first is the identification of program needs. In the emergency planning and operations this requirements is met through the process of damage assessment.

1. The first step in recovering from natural disasters is damage assessment. Damage assessment is the process used to determine the magnitude of the disaster damage. Early damage assessment is necessary to identify requirements from life saving actions and resources needed from other local governments and the state. A survey of the damaged area must be made immediately to record types of damage and to identify requirements for assistance. Damage assessment teams should illustrate the amount and composition of debris on maps of the community.
2. For management purposes, the community should be divided into sectors or zones. Some things to be considered in selecting the size of these areas are the type of debris, location, volume, land use and location of existing and potential disposal areas.

B. The second planning requirement is the identification of resources available to meet those needs.

1. Local Government

Most local governments maintain equipment such as trucks, loaders, graders, chippers, chain saws, small cranes, dozers and backhoes. They also have experienced operators that can be used to open roads and remove debris. Temporary hires may be added to provide additional labor and equipment operators for 24 hour-a-day operations, if needed.

2. State Agencies

The National Guard, Transportation Cabinet and the Environmental and Public Protection Cabinet (E&PPC) have equipment and personnel that may provide limited assistance on a short-term basis.

3. The Federal Emergency Management Agency can provide grant assistance for some debris removal if the disaster affected area is declared a Major Disaster Area by the President under Public Law 93-288. The Federal Highway Administration can provide assistance to State government for debris removal and repair of State Highways.
4. The Interstate Emergency Management Assistance Compact is an understanding among neighboring communities to provide assistance to one another in time of need. (See Appendix B for an example of Interstate Emergency Management Compact)

5. Volunteers can play a significant role in large-scale debris removal operations. The Mennonite Disaster Service, Church World Services and other VOAD agencies can assist private property owners or provide financial assistance in the removal of debris from private property.
- C. The third requirement is the development of an organization to match program resources to program needs.
1. Organization is the key to a successful debris removal operation. Following a major disaster, resources from other communities, state agencies and volunteer groups may be available to assist local resources. However, these resources will not be used effectively unless an overall plan is already in place.
 2. Each community should set up a separate task force organization to manage and control the project. One individual is given total responsibility for managing the project and is provided the resources necessary to carry it to completion, priorities may not be properly developed or work assignments completed in a timely manner.

V. DEBRIS REDUCTION METHODS

- A. There are several methods of debris removal including burning, grinding and chipping, burying and recycling. Each method has its advantages and disadvantages. Ideally, all methods should be used to expedite debris reduction operations while complying with local and state ordinances and environmental regulations.
1. Reduction by burning: There are several burning methods available including open burning, air curtain pit burning and refractor line pit burning. Each burning method has advantages and disadvantages that should be considered before selection and implementation as part of the overall volume reduction strategy.
 - a. Open-burning - uncontrolled open burning is the least desirable method of volume reduction because it lacks any type of environmental control.
 - b. Controlled open-burning - controlled open burning is a cost effective method for reducing clean woody debris in rural areas. Clean wood debris presents little environmental damage and the resulting ash can be used as a soil additive by the local agricultural community. Pursuant to the E&PPC regulations 401 KAR 63:005, fires may be set for the following purposes provided that such fires do not violate any of the provisions of KRS Chapter 149, 227 or any other laws of the Commonwealth of Kentucky or any local ordinances. The burning also needs to be coordinated through the Division of Air Quality (502) 573-3382.

Fires set for disposal of natural growth for land clearing, and trees and tree limbs felled by storms, provided that no extraneous material such as tires or heavy oil which tend to produce dense smoke are used to cause ignition or aid combustion and the burning is done on sunny days with mild winds.

- c. Curtain Pit Burning - offers an effective means to expedite the volume reduction process by substantially reducing the environmental concerns caused by open burning.
 - d. Refractor Lined Pit Burning - or pre-manufactured refractor lined pit burners are an alternate to air curtain open pit burning. The units can be erected on site in a minimal amount of time. Some are portable and other must be built in-place. The units are especially suited for locations with high water tables, sandy soil, or where materials are not available to build above ground pits. The units are air curtain blowers that deliver air at predetermined velocities and capacities. The nozzle 20 feet long would have a velocity of over 120 miles per hour and would be delivering 20,000 cubic feet of air per minute to the fire. The air traps smoke and small particles and recirculates them to enhance combustion which reaches over 2500 degrees fahrenheit. Manufacturers claim that combustion rates of about 25 tons per hour are achievable.
- 2. Reduction by Grinding and Chipping - grinding and chipping woody debris reduces the large amounts of downed trees. Chipping operations are suitable in urban areas where streets are narrow or in groves where it is cheaper to reduce the woody vegetation to mulch to move it a central grinding site and then returning it to the grove. This reduces the costs associated with double handling.
 - 3. Reduction by Burying - burying is a safe and economical way to dispose of debris if all rules and regulations are followed carefully. If no hazardous wastes are involved, you may bury the debris on site. To receive an emergency permit to take the debris to another location to bury later, you must call the E&PPC (502) 564-6716. The Cabinet may grant verbal permission to bury debris but you must follow up the phone call with a written request within 5 days. To bury tree limbs, brush, construction demolition materials of 1 acre or less, etc. requires a 3-phase application from the Division of Waste Management. This application can be obtained by calling (502) 564-6716.
 - 4. Reduction by Recycling - recycling reduces mixed debris volume before it is hauled to a landfill. Recycling is attractive since there may be an economic value to the recovered material if it can be sorted and sold. Metals, wood and soils are prime candidates for recycling. The major drawback is the potential environmental impact of the recycling operation. The areas where there is a large usage of chemical agricultural fertilizer the recovered soil may be too

contaminated for use on residential or existing agricultural land.

VI. INTERSTATE EMERGENCY MANAGEMENT ASSISTANCE COMPACT

The Southern Governor's Association has developed an Interstate Emergency Management Assistance Compact. Kentucky, along with most other states, has agreed to share resources during emergencies and disasters. The compact will enable Kentucky to receive and provide assistance with debris removal efforts from participating states.

VII. ADMINISTRATIVE SUPPORT

- A. Administrative support shall be provided by local jurisdictions in documenting disaster repairs for federal and state reimbursement.
- B. In the event of a Presidential Disaster Declaration, KyEM shall provide administrative support by processing documents authorizing payments to individuals, families, local governments, PNPs and state agencies.
- C. The Federal Emergency Management Agent (FEMA) also provides administrative support in the Disaster Field Office by preparing Damage Survey Reports and other documents allocating funds for disaster repairs, emergency work and debris removal.

VIII. GUIDANCE DOCUMENTS

- A. FEMA DAP-15 (Draft) (Dec. 1991) Debris Removal Guidelines for State and Local Officials
- B. Federal Response Plan
- C. FEMA Debris Removal and Disposal Guidelines, April 1994
- D. Florida Standard Operating Procedures for Debris Disposal
- E. Natural Resources and Environmental Protection Cabinet, Disposal of Solid Waste Regulation:
 - 401 KAR 47:030 – Environmental Performance Standards
 - 401 KAR 47:080 – Classification of solid waste sites or facilities
 - 401 KAR 47:110 – Registered permit-by-rule
 - 401 KAR 47:150 – Special types of permits
 - 401 KAR 63:005 – Open burning

IX. TABS

- A. TAB V-13-1 Right of Entry Agreement
- B. TAB V-13-2 Model Lump Sum Contract for Debris Removal
- C. TAB V-13-3 Model Unit Price Contract for Debris Removal

TAB V-13-1
RIGHT OF ENTRY AGREEMENT

I/We _____, the owner(s) of the property commonly identified as _____, _____ Street _____ City _____, State of Kentucky, do hereby grant and give freely and without coercion, _____ County the right of access and entry to said property to the County/City of _____, its agencies, contractors, and subcontractors thereof, for the purpose of removing and clearing any or all storm-generated debris of whatever nature from the above described property.

It is fully understood that this permit is not an obligation to perform debris clearance. The undersigned agrees and warrants to hold harmless the City/County of _____, State of Kentucky, their agencies, contractors and subcontractors, for damage of any type, whatsoever, either to the above described property or persons situated thereon and hereby release, discharge and waive any action, either legal or equitable which might arise out of any activities on the above described property. The Property owner(s) will mark any storm damaged sewer lines, water lines and other utility lines located on the described property.

I/We (have _____, have not _____) (will _____, will not _____) receive any compensation for debris removal from any other source including SBA, ASCS, private insurance, individuals and family grant program or any other public assistance program. I will report for this property any insurance settlements to me or my family for debris removal that has been performed at government expense. I am fully aware that an individual who fraudulently or willfully misstates any fact in connection with this agreement shall be subject to a fine of not more than \$10,000 or imprisoned for not more than one year or both. For the considerations and purposes set forth herein, I hereby set my hand this _____ day of _____, 20 _____.

Witness

Owner

Owner

Telephone No.

Address

City/State/Zip

TAB V-13-2
MODEL LUMP SUM CONTRACT FOR DEBRIS REMOVAL

ARTICLE 1: Agreement Between Parties

This contract is made and entered into on this the _____ day of _____ 20 ____, by and between the city/county of _____, hereinafter called the ENTITY and _____, hereinafter called the CONTRACTOR.

ARTICLE 2: Scope of Work

This contract is issued pursuant to the Invitation for Bids issued on _____ 20____, for the removal of debris caused by the sudden natural or man made disaster of _____ to 20____. It is the intent of this contract to remove as quickly as possible all hazards to life and property in the affected communities. Clean-up, demolition and removal will be limited to 1) that which is determined to be in the interest of public safety and 2) that which is considered essential to the economic recovery of the affected area.

The work shall consist of clean-up, or demolition and removal as outlined in the specifications, on drawings and on block/sector maps attached to I.F.B. #_____.

ARTICLE 3: Schedule of Work

Time is of the essence for this debris removal contract.

Notice to proceed with the work: The work under this contract will commence on _____, 20____. Maximum allowable time for completion will be _____ calendar days, unless the Entity initiates additions or deletions by written change order. If the contractor does not complete the work within the allotted time, liquidated damages will be assessed in the amount of _____ per day.

ARTICLE 4: Contract Price

The lump sum price for performing the work stipulating in the contract documents is \$_____.

ARTICLE 5: Payment

The contractor shall submit certified pay requests for completed work. The Entity shall have 10 calendar days to approve or disapprove the pay request. The Entity shall pay the Contractor for his performance under the contract within 20 days of approval of the pay estimate. On contracts over 30 days in duration, the Entity shall pay the Contractor a pro-rated percentage of the contract amount on a monthly basis, based on the amount of work completed and approved in that month. The Entity will remunerate the Contractor within 30 days of the approved application for payment, after which interest will be added at a rate of _____ per annum. Payments shall be subject to a retainage of _____ on each payment. Retainage shall be released upon substantial completion of the work.

Funding for this contract is authorized pursuant to Public Law of the State of _____ and _____ (local statute or ordinance).

ARTICLE 6: Change Orders

If the scope of work is changed by the Entity, the change in price and contract time will be promptly negotiated by the parties, prior to commencement of work.

ARTICLE 7: Contractor's Obligations

The Contractor shall supervise and direct the Work, using skillful labor and proper equipment for all tasks. Safety of the Contractor's personnel and equipment is the responsibility of the Contractor. Additionally, the Contractor shall pay for all materials, equipment, personnel, taxes and fees necessary to perform under the terms of the contract.

Any unusual, concealed or changed conditions are to be immediately reported to the Entity. The Contractor shall be responsible for the protection of existing utilities, sidewalks, roads, buildings, and other permanent fixtures. Any unnecessary damage will be repaired at the Contractor's expense.

ARTICLE 8: Entity's Obligations

The Entity's representatives shall furnish all information, documents and utility locations necessary for commencement of the work. Costs of construction permits and authority approvals will be borne by the Entity. A representative will be designated by the Entity for inspecting the work and answering any on-site questions.

The Entity shall designate the public and private property areas where the disaster mitigation work is to be performed. Copies of complete 'Right of Entry' forms, where they are required by state or local law for private property, shall be furnished to the contractor by the Entity. The Entity shall hold-harmless and indemnify the Contractor judgements and awards alleged to have been caused by services rendered under this contract for disaster relief work unless such claims are caused by the gross negligence of the Contractor, his subcontractors or his employees.

The Entity will terminate the contract for failure to perform as specified, or due to default by the Contractor.

ARTICLE 9: Claims

If the Contractor wishes to make a claim for additional compensation, for work or materials not clearly covered in the contract, or not ordered by the Entity as a modification to the contract, he shall notify the Entity in writing. The Contractor and the Entity will negotiate the amount of adjustment promptly, however, if no agreement is reached, a binding settlement will be determined by a third party acceptable to both Entity and Contractor under the auspices of applicable state law.

ARTICLE 10: Insurance and Bonds

The Contractor shall furnish proof of Worker's Compensation Coverage, Automobile Liability Coverage and Comprehensive General Liability Insurance (Premises-Operations, Personal Injury, etc. as deemed necessary by the Entity).

Surety: the Contractor shall deliver to the Entity fully executed Performance and Payment Bonds in the amount of 100%. of the contract amount, if required by the specifications, general or special conditions of the contract. The Entity will reimburse the Contractor for the costs of the bonds, the costs of which will be included in the base bid.

ARTICLE 11: Contractor Qualifications

The Contractor must be duly licensed in the state per statutory requirements.

THIS CONTRACT IS DULY SIGNED BY ALL PARTIES HERETO:

ENTITY (CITY, COUNTY, TOWN, Etc.)

by:_____

SEAL

CONTRACTOR

ADDRESS

CITY, STATE

by:_____

SEAL

PRINCIPAL OF THE FIRM

TAB V-13-3
MODEL UNIT PRICE CONTRACT FOR DEBRIS REMOVAL

ARTICLE 1: Agreement Between Parties

This contract is made and entered into on this the day of _____, 20 ____, by and between the city/county of _____, herein after called the ENTITY and _____, hereinafter called the CONTRACTOR.

ARTICLE 2: Scope of Work

This contract is issued pursuant to the Invitation for Bids issued on _____ 20____, for the removal of debris caused by the sudden natural or man-made disaster of _____ to _____, 20____. It is the intent of this contract to remove as quickly as possible all hazards to life and property in the affected communities. Clean-up, demolition and removal will be limited to 1) that which is determined to be in the interest of public safety and 2) that which is considered essential to the economic recovery of the affected area.

The work shall consist of clean-up or demolition and removal as outlined in the specifications, on drawings and on block/sector maps attached to I.F.B #.

ARTICLE 3: Schedule of Work

Time is of the essence for this debris removal contract.

Notice to proceed with the Work: Work under this contract will commence on _____ 20____. Maximum allowable time for completion will be _____ calendar days unless the Entity initiates additions or deletions by written change order. Subsequent changes in cost and completion time will be equitably negotiated by both parties pursuant to applicable state law. Liquidated damages shall be assessed at \$ _____ /calendar day for any days over the approved contract amount.

ARTICLE 4: Contract Price

The unit prices for performing the work stipulated in the contract documents, which have been transposed from the low bidder's bid schedule, are as follows:

Quantity	Unit of Measure	Description	Unit Cost	Total
				Subtotal _____
				Cost of Bonds _____
				Grand Total _____

*Debris shall be classified as one of the following units: cubic yard, each, square foot, lineal foot, gallon, or an approved unit measure applicable to the specific material to be removed.

ARTICLE 5: Payment

The Contractor shall submit the request for payment each month for approval by the Entity. The Entity shall have 10 days to approve or disapprove the pay estimate. The Entity shall pay the Contractor for the performance under the contract within 20 days of the completion of the work, following receipt of the Contractor's itemized billing and approval of affidavit of accomplishment. On contracts over 30 days in duration, the Entity shall pay the Contractor on a monthly basis, based on the amount of work completed in that month. The Entity will remunerate the Contractor within 30 days of the application for payment, after which interest will be added at-a rate of _____ per annum.

Funding for this contract is authorized pursuant to Public Law of the State of _____ and

Local Statute or Ordinance

ARTICLE 6: Claims

If the Contractor wishes to make a claim for an increase in contract sum or extension of time, the contractor shall notify the Entity in writing. The Contractor and the Entity will negotiate the amount of adjustment and length of time prior to commencement of work. Changes in contract amount will be based upon unit prices in the contract if applicable. Disagreements will be determined by a third party acceptable to both Entity and Contractor under the auspices of applicable state law.

ARTICLE 7: Contractor's Obligations

The Contractor shall supervise and direct the Work, using skillful labor and proper equipment for all tasks. Safety of the Contractor's personnel and equipment is the responsibility of the Contractor. Additionally, the Contractor shall pay for all materials, personnel, taxes and fees necessary to perform under the terms of the Contract.

Any unusual, concealed or changed conditions are to be immediately reported to the Entity. Protection of adjacent public and private property and utilities is the responsibility of the Contractor. Any unnecessary damage will be repaired at the Contractor's expense.

ARTICLE 8: Entity's Obligations

Entity's representatives shall furnish all information, documents and utility locations necessary for commencement of the Work. Costs of construction permits, disposal sites and authority approvals will be borne by the Entity. A representative will be designated by the Entity for inspecting the work and answering any on-site questions.

The Entity shall designate the public and private property areas where the disaster mitigation work is to be performed. Copies of completed 'Right of Entry' forms, where they are required by state or local law for private property, shall be furnished to the Contractor by the Entity. The Entity shall hold-harmless and indemnify the Contractor and the employees against any liability for any and all claims, suits, judgements and awards alleged to have been caused by services rendered under this contract for disaster relief work unless such claims are a result of negligence on the part of the Contractor.

The Entity will terminate the contract for failure to perform or default by the Contractor.

ARTICLE 9: Insurance and Bonds

Contractor shall furnish proof of Worker's Compensation Coverage, Automobile Liability Coverage and Comprehensive General Liability Insurance (premises-operations, personal injury, etc. as deemed necessary by the Entity).

Surety: The Contractor shall deliver to the Entity fully executed Performance and Payment Bonds in the amount of 100% of the contract amount, if required by the specifications,, general or special conditions of the contract. The Entity will reimburse the Contractor for the costs of the bonds upon their receipt.

ARTICLE 10: Contractor Qualifications/Area Preference

The Contractor must be duly licensed in the state per statutory requirements.

THIS CONTRACT IS DULY SIGNED BY ALL PARTIES HERETO:

ENTITY (CITY, COUNTY TOWN, ETC)

by:_____

SEAL

CONTRACTOR

ADDRESS

CITY - STATE

by:_____

PRINCIPAL OF THE FIRM

SEAL

APPENDIX V-14
RESERVED FOR FUTURE USE

APPENDIX V-15 POST DISASTER BUILDING INSPECTIONS

I. SITUATION AND ASSUMPTIONS

- A. All parts of the Commonwealth are susceptible to disasters capable of damaging buildings.
- B. These events may strike with little or no warning.
- C. The need to survey damaged buildings rapidly is crucial.

II. MISSION

The mission of this Appendix is to provide guidance on performing building inspections following a damaging disaster.

III. DIRECTION AND CONTROL

Direction and Control for this Appendix will be provided by the local Emergency Management Director.

IV. CONCEPT OF OPERATIONS

- A. The procedures described in the summary assume that local building departments have the authority to inspect buildings, even apparently undamaged structures, in the post-event period.
 - 1. Immediately following a damaging disaster, local building department will be overwhelmed with the number of structures requiring safety evaluations. Assistance in conducting building safety surveys will be needed.
 - 2. Procedures have been developed to allow expedient assessment and posting of affected hazard areas.
 - 3. The initial assessment of potentially damaged areas are typically carried out by police, fire and other emergency services personnel. Followed by visits by local building department representatives to areas of heaviest damage or potential danger. Safety surveys of buildings require individual rather than area-wide observations unless the damage is obviously slight.
- B. The development of building and environmental hazard assessment criteria has taken into account the anticipated shortfall of manpower resources for the task and in doing so, has been divided into three levels of complexity and technical requirements.

1. RAPID EVALUATION

Time Required: 10-20 minutes

- Required personnel:
1. Qualified building inspectors
 2. Civil/structural engineers
 3. Architects
 4. Other individuals deemed qualified by local jurisdiction

Goal: Rapid assessment of safety. Used to quickly post obviously unsafe and apparently safe structures, also used to identify buildings requiring Detailed Evaluation.

2. DETAILED EVALUATION Time Required: 1-4 hours

Required Personnel: 1. Structural Engineers*

Goal: Detailed engineering investigation of damaged buildings, involving use of construction drawings, damage survey data, and new structural calculations.

*Geotechnical specialists required for assessment of geotechnical hazards.

- C. Inspections of the affected buildings, by appropriately qualified inspectors, will allow posting of those structures with placards designed to inform the public of the suitability and safety of the building for further use. The methodology employed for this purpose is a three level designation of apparent damage or danger. They are as follows:

<u>CLASSIFICATION</u>	<u>COLOR</u>	<u>DESCRIPTION</u>
1. <u>INSPECTED</u> – NO RESTRICTIONS	Green	No apparent hazard found, although repairs may be required. Original lateral load capacity not significantly decreased. No restrictions on use or occupancy. See Tab V-15-1.
2. <u>LIMITED ENTRY</u> - OFF LIMITS	Yellow	Dangerous condition believed to be present. Entry by owner permitted only for emergency purposes, and only at own risk. No usage on continuous basis. Entry by public not permitted. Possible major aftershock hazard. See Tab V-15-2.

3. UNSAFE – NO ENTRY Red

Extreme hazard, imminent danger of collapse. Unsafe for occupancy or entry, except by authorities. See Tab V-15-3.

- D. In addition to the posting classifications required to rate the safety of a building as a whole, there may also be a need to designate individual areas, either otherwise undamaged buildings or some outside areas, as dangerous for occupancy or use. Examples of these areas may include; cracked parapet, elevators, areas of ground subsidence, damaged propane tanks, areas within the strike zone from damaged chimneys, etc. These areas will require barricades or other means of limiting the potential of danger to the public.

V. ADMINISTRATIVE SUPPORT

Administrative support will be provided by local resources.

VI. TABS

- A. TAB V-15-1, Building Inspection Placard. "INSPECTED – NO RESTRICTIONS"
- B. TAB V-15-2, Building Inspection Placard. "LIMITED ENTRY – OFF LIMITS"
- C. TAB V-15-3, Building Inspection Placard. "UNSAFE – NO ENTRY"

TAB V-15-1

BUILDING INSPECTION PLACKARD

INSPECTED - NO RESTRICTIONS
(Color: GREEN)



Commonwealth of Kentucky

INSPECTED

NO RESTRICTION ON USE OR OCCUPANCY

This structure has been inspected (as indicated below) and no apparent structural hazard has been found. Report any unsafe conditions to local authorities; reinspection may be required.

- ☐ **Exterior Only**
☐ **Exterior and Interior**

Facility Name and Address:

Date: _____

Time: _____

This facility was inspected under emergency conditions for:

(Jurisdiction)
on the date and time noted:

Inspector ID/Agency:

**Do Not Remove this Placard until
Authorized by Governing Authority.**

(ACTUAL SIZE, 8.5 x 11 Inches)

TAB V-15-2

BUILDING INSPECTION PLACKARD

LIMITED ENTRY – OFF LIMITS
(Color: YELLOW)



Commonwealth of Kentucky

LIMITED ENTRY

OFF LIMITS TO UNAUTHORIZED PERSONNEL

Warning:

This structure has been damaged and its safety is questionable. Enter only at own risk.

Date: _____

Time: _____

This facility was inspected under emergency conditions for:

Restriction on use:

☐ **Entry for Emergency Purposes only**

☐ **Other**

(Jurisdiction)

on the date and time noted:

Facility Name and Address:

Inspector ID/Agency:

**Do Not Remove this Placard until
Authorized by Governing Authority.**

(ACTUAL SIZE, 8.5 x 11 Inches)

TAB V-15-3

BUILDING INSPECTION PLACKARD

UNSAFE - NO ENTRY
(Color: RED)



Commonwealth of Kentucky

UNSAFE

DO NOT ENTER OR OCCUPY

Warning:

This structure has been seriously damaged or is unsafe because of _____. Do not enter. Entry may result in death or injury.

Comments:

Facility Name and Address:

Date: _____

Time: _____

This facility was inspected under emergency conditions for:

(Jurisdiction)
on the date and time noted:

Inspector ID/Agency:

**Do Not Remove this Placard until
Authorized by Governing Authority.**

(ACTUAL SIZE, 8.5 x 11 Inches)